AGENDA

Agenda and Introductions (5 minutes)

Performance Management: Formal Review Process

- Upcoming Annual Review Process (Kevin Cruse, HRBP) 10 minutes
- Start, Stop, Continue Analysis (Jeffrey Maynard, HRBP) 5 minutes
- Performance 365 (Adrienne Richardson, ER Consultant) 15 minutes

Performance Management: Progressive Discipline and Coaching

- Intro (Julie Joyce, Sr. Director-HRBPs & ER) 5 minutes
- Performance Management Policy and Process (Eric White, ER Consultant) 10 minutes
- Performance Improvement Plans (Tamika Spirling-Brooks, ER Consultant) 10 minutes
- Termination and Appeals (J. Joyce) 5 minutes
- What would you do? (ER Team) 15 minutes

Questions
GEORGIA TECH HUMAN RESOURCES SUPPORT

Julie Joyce
Sr. Director-HR Business Partners/Employee Relations

HR Business Partners
- Kevin Cruse, HRBP
- Ravyn Blue, HRBP
- Easter Worden, HRBP
- Valeria Roberts, HRBP

Shundra Lee, HRBP
- Lee Hendrickson, HRBP
- Morinee Terry, HRBP
- Jeffrey Maynard, HRBP

Employee Relations
- Thomas Vance, Compliance
- Adrienne Richardson, ER Consultant
- Tamika Spirling-Brooks, ER Consultant
- Eric White, ER Consultant
- TBD, ER Consultant
- TBD, Sr. Admin Professional I
PERFORMANCE REVIEW PROCESS

RESOURCES

1. Self Assessment (new)
2. One-on-One Coaching Form (new)
3. Automated Evaluation Form (new)
5. Workplace Learning & Professional Development Courses

Performance Management Website: http://ohr.gatech.edu/performance
Workplace Learning & Professional Development Website: http://ohr.gatech.edu/learningdevelopment
## PERFORMANCE REVIEW PROCESS

### TIMELINE

<table>
<thead>
<tr>
<th>Period</th>
<th>Timeline</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>2016 Performance Cycle</strong></td>
<td>January 1, 2016 - December 31, 2016</td>
</tr>
<tr>
<td><strong>2017 Goal Setting Period</strong></td>
<td>January 3, 2017 - March 31, 2017</td>
</tr>
<tr>
<td>Date</td>
<td>Event</td>
</tr>
<tr>
<td>--------------------</td>
<td>----------------------------------------------------------------------</td>
</tr>
<tr>
<td>February 15, 2017</td>
<td>Employees complete self-assessment and forwards copy to manager</td>
</tr>
<tr>
<td>February 28, 2017</td>
<td>Manager discusses goals and objectives with team as a group</td>
</tr>
<tr>
<td>March 1, 2017</td>
<td>Manager completes employee annual reviews and schedules 1:1 conversations</td>
</tr>
<tr>
<td>March 31, 2017</td>
<td>Manager has reviewed annual review with each direct report and obtained a signed copy for his or her personnel file</td>
</tr>
</tbody>
</table>
### BEST PRACTICES

#### Manager

- Review prior year goals:
  - Ask employee to complete Self-Assessment form
  - Collect feedback from peers internal clients

- Rate goals based on actual results:
  - Outline measurables
  - Determine overall performance rating
  - Schedule time to meet with the employee
  - Allow time for employee questions
  - Provide balanced feedback:

  **Identify strengths, weaknesses, and any performance gaps and tie to Institute Performance Competencies**

- Review resources to enhance performance
- Discuss upcoming goals
- Sign and submit evaluation form

#### Employee

- Review prior year goals

- Complete Self-Assessment (NEW tool):
  - Prepare a list of accomplishments
  - Identify strengths, weaknesses, and/or any performance gaps
  - Describe any limitations that prevented you from accomplishing goals
  - Gather any feedback and/or recognition received during the performance cycle
  - List completed training and development opportunities
  - Provide this list to your manager prior to the performance evaluation meeting
  - Identify career aspirations and potential development goals for the upcoming performance cycle
Staff Competencies

- Decision Making
- Effective Communication
- Interpersonal Relationships
- Job Knowledge
- Producing Results
- Service Excellence

Leadership Competencies

- Cultivating Workplace Diversity
- Leadership
- Staff and Career Development

It’s not just the “What,” it’s the “How”
WHAT’S NEXT WITH PERFORMANCE MANAGEMENT?

In 2015, GTHR conducted a **Stop-Start-Continue** assessment with cross-campus representation from the HR Community.

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dian Chung-Hinkson</td>
<td>Director – HR II</td>
<td>College of Sciences</td>
</tr>
<tr>
<td>Walla Compton</td>
<td>Faculty Support Coordinator</td>
<td>Chemistry &amp; Biochemistry</td>
</tr>
<tr>
<td>Glenda Duncan</td>
<td>Admin Manager II &amp; Events Coordinator</td>
<td>Strategic Energy Institute</td>
</tr>
<tr>
<td>LaTrese Ferguson</td>
<td>Training Manager</td>
<td>Human Resources</td>
</tr>
<tr>
<td>Brandi Foley-Rodgers</td>
<td>Assistant Director</td>
<td>Office of the Provost</td>
</tr>
<tr>
<td>Dawn Franklin</td>
<td>Admin Manager I</td>
<td>Psychology</td>
</tr>
<tr>
<td>Carol Gibson</td>
<td>Controller</td>
<td>Controller’s Office</td>
</tr>
<tr>
<td>Melissa Grawert</td>
<td>HR Coordinator</td>
<td>GTPD</td>
</tr>
<tr>
<td>Alan Katz</td>
<td>College Administrative Office</td>
<td>College of Computing</td>
</tr>
<tr>
<td>Faith McKay</td>
<td>HR Coordinator</td>
<td>Student Health Center</td>
</tr>
<tr>
<td>Twyla Moore</td>
<td>HR Coordinator</td>
<td>College of Architecture</td>
</tr>
<tr>
<td>Suwana Murchison</td>
<td>Employee Performance Manager-GTRI</td>
<td>GTRI</td>
</tr>
<tr>
<td>Cindy Pickett</td>
<td>Assistant HR Director</td>
<td>Mechanical Engineering</td>
</tr>
<tr>
<td>Lynda House</td>
<td>Director- HR II</td>
<td>College of Engineering</td>
</tr>
<tr>
<td>Kara Tillman</td>
<td>Senior Consultant</td>
<td>Strategic Consulting</td>
</tr>
<tr>
<td>Rex Welch</td>
<td>HR Manager</td>
<td>GTRC</td>
</tr>
<tr>
<td>Craig Womack</td>
<td>Asst. Dean Undergraduate Program</td>
<td>Scheller College of Business</td>
</tr>
</tbody>
</table>
# PERFORMANCE PROCESS RECOMMENDATIONS

<table>
<thead>
<tr>
<th>CURRENT STATE</th>
<th>FUTURE STATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manual paper process</td>
<td>✓ Communication plan (Ongoing communication and Reminders)</td>
</tr>
<tr>
<td>Competency ratings vague</td>
<td>✓ Manager checklist for evaluation (planning checklist and best practices)</td>
</tr>
<tr>
<td>Rating categories (5)</td>
<td>✓ Self Assessment form</td>
</tr>
<tr>
<td>Process not clearly defined</td>
<td>✓ Coaching One-on-one form</td>
</tr>
<tr>
<td>No self-appraisal evaluation</td>
<td>✓ Automated evaluation form in Microsoft Word</td>
</tr>
<tr>
<td>Lacks accountability (checks/balances)</td>
<td></td>
</tr>
<tr>
<td>No succession planning feature</td>
<td></td>
</tr>
<tr>
<td>Inconsistent or lack of standards</td>
<td></td>
</tr>
<tr>
<td>Minimal communication</td>
<td></td>
</tr>
</tbody>
</table>

Long Term Objectives:
- Form Flexibility; EE Categories (faculty, staff, manager, executive)
- Enhanced Competency Ratings & Definitions
- After Review Survey Metrics (360 reviews)
Drive a culture of ongoing coaching, constructive feedback and career development (not ratings)
Employee relations cases continue at a steady pace.

Overall ratings are beyond a normal distribution curve: 63% of employees rated Exceptional/Strong

Compare: In 2015, only 39 Georgia Tech employees rated as Needs Improvement or Unsatisfactory.

2015 Evaluation Ratings

<table>
<thead>
<tr>
<th>Case Type</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>HR Consultations: (Verbal, Written, and Final Warnings, Performance Improvement Plans, Policy Interpretation, Coaching's)</td>
<td>273</td>
</tr>
<tr>
<td>Ethics Reports/Non-Ethics Report Investigations</td>
<td>43</td>
</tr>
<tr>
<td>Suspensions</td>
<td>13</td>
</tr>
<tr>
<td>Terminations</td>
<td>57</td>
</tr>
<tr>
<td>Appeals</td>
<td>3</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>389</strong></td>
</tr>
</tbody>
</table>
## COMPETENCY RATING DEFINITIONS

<table>
<thead>
<tr>
<th>Rating</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exceptional</td>
<td>Outstanding performance that considerably and consistently exceeds expectations.</td>
</tr>
<tr>
<td>Strong</td>
<td>Good, solid performance. Fully meets expectations and may, on occasion, exceed expectations in this area.</td>
</tr>
<tr>
<td>Satisfactory</td>
<td>Performance meets the standard requirements or expectations of the position</td>
</tr>
<tr>
<td>Needs Improvement</td>
<td>May partially meet performance expectations but needs improvement. Steps to improve performance must be clearly detailed in the Action Plan section below.</td>
</tr>
<tr>
<td>Unsatisfactory</td>
<td>Performance is well below an acceptable level. A formal Performance Improvement Plan must be developed.</td>
</tr>
</tbody>
</table>
HOW DO WE MOVE THE NEEDLE?

- Increased frequency of communication
- Clear, concise communication and direction on performance management
- Providing tools and guidance for both employees and managers to facilitate more frequent coaching
  - Coaching Conversation Form
  - Checklist and Guidance for Coaching
  - Optional Mid-Year Performance Review
- Targeted training offerings based on time in performance cycle
- Clarification and training around performance management process
Q1- Goal Setting:
- Goal Setting form
- The Partner Method: Managing the Performance Management Process
- SMART Goals Online Tutorial: [http://trains.gatech.edu/courses/searchupcoming#view-12095](http://trains.gatech.edu/courses/searchupcoming#view-12095)

Q2- Performance Evaluations*:
- Giving and Receiving Feedback
- Effective 1 on 1 meetings: 10 Tips (Tip sheet and podcast)
- Skills Lab: *Does the idea of delivering constructive feedback stress you out. Come practice the skills necessary to deliver performance related messages that will ensure understanding and set your employees up for success.

Q3- Midyear Reviews: (recommended, not required)
- On Track/Off Track form
- Self Assessments: *How to write a self-assessment that helps you reflect on areas of opportunity and showcases your talent.

Q4: Year-end Preparation:
- Manager/Employee Coaching 1:1 Form
- Giving and Receiving Feedback
- Skills Lab: *Does the idea of delivering constructive feedback stress you out. Come practice the skills necessary to deliver performance related messages to set your employees up for success.
PERFORMANCE MANAGEMENT

PROGRESSIVE DISCIPLINE

CREATING THE NEXT®
PERFORMANCE MANAGEMENT
WHAT DO YOU DO WHEN THIS IS YOUR TEAM?
PERFORMANCE MANAGEMENT PITFALLS

HELLO!
EMPLOYEE RELATIONS IS...
Performance Management Policy 4.5

Performance management is the process of managing, coaching, developing, and evaluating employees in order to cultivate relationships and create plans for future success.

Progressive Discipline Policy 5.13

Progressive discipline is a constructive and corrective approach to solving work related performance, attendance, and/or behavior concerns. Through this process, employees are provided with information needed to understand what aspect of their work performance, attendance, and/or behavior is unacceptable and what improvements are needed to demonstrate success.

Scope

All staff at the Georgia Institute of Technology should be aware of these policies.
PERFORMANCE MANAGEMENT

PROGRESSIVE DISCIPLINE QUICK REFERENCE

- Coaching
- Verbal Warning
- Written Warning/Reprimand
- PIP/Suspension
- Termination

* Not all steps are required...
WHAT IS A “COACHING” CONVERSATION?

Coaching is:

- Documented, but informal
- Direct and timely
- Aspirational and supportive
- A two-way conversation
- Clear on expectations and next steps
WHEN SHOULD I CALL EMPLOYEE RELATIONS?

- Coaching
- Verbal
- Written
- Performance Improvement Plan
- Final Written Warning
- Suspension
- Termination

Termination must be reviewed and approved by ER/OHR.
PERFORMANCE IMPROVEMENT PLANS (PIP)

PIPs are targeted tools for supervisors to address and resolve performance issues. They are NOT tools for justifying termination of employees.

• If an employee's performance rating is "Needs Development" or "Unsatisfactory", a Performance Improvement Plan (PIP) may be necessary.

• The PIP communicates: performance discrepancies, when an improved level of performance needs to be achieved, and specific action steps to help the employee meet performance expectations.
SUCCESSFUL PIPS

GOAL SETTING
SPECIFIC
MEASURABLE
ATTAINABLE
RELEVANT
TIME-BOUND

Georgia Tech

CREATING THE NEXT
WHERE TO FIND THE PERFORMANCE IMPROVEMENT PLAN (PIP)

Things to Remember
• Start and end date should be included on the form.
• Make sure dates coincide with length of PIP (30, 60 or 90 days).
• 60 days is standard unless employee is a safety or access issue.
• Manager should meet with employee either weekly or bi-weekly since the purpose of the PIP is to improve performance and provide feedback.

www.ohr.gatech.edu/forms

Performance
• Annual Evaluation
• Review for Probationary Period
• Performance Improvement Plan
• Performance Narrative Option - Sample
## PIP Timeline

<table>
<thead>
<tr>
<th>Days</th>
<th>Meeting Expectations...</th>
<th>Partially Meeting Expectations...</th>
<th>Not Meeting Expectations...</th>
</tr>
</thead>
<tbody>
<tr>
<td>30</td>
<td><strong>Conclude PIP</strong>; continued and sustained improvement required.</td>
<td><strong>Extend PIP</strong>; continue monitoring performance weekly.</td>
<td><strong>Extend PIP</strong>; continue monitoring performance weekly. *</td>
</tr>
<tr>
<td>60</td>
<td><strong>Conclude PIP</strong>; continued and sustained improvement required.</td>
<td><strong>Extend PIP</strong>; continue monitoring performance weekly.</td>
<td><strong>Conclude PIP</strong>; discuss whether FWW, Suspension, or Term is appropriate.</td>
</tr>
<tr>
<td>90</td>
<td><strong>Conclude PIP</strong>; continued and sustained improvement required.</td>
<td><strong>Conclude PIP</strong>; discuss whether FWW, Suspension, or Term is appropriate.</td>
<td><strong>Conclude PIP</strong>; discuss whether FWW, Suspension, or Term is appropriate.</td>
</tr>
</tbody>
</table>

* Exceptions to conclude the process may be requested by manager through Employee Relations.
Termination is the last step in the process and must be approved by Georgia Tech Human Resources. Approval is based on:

- Did you follow the progressive discipline process?
  - If not, is the issue so egregious as to warrant immediate termination?
- Available documentation or other support?
- Documentation supports objective reason for termination under our policies.
Demotions, Dismissals (not including those that occur during the 6-month probationary period), and Suspensions Without Pay can be appealed.

Levels of appeal:
- Manager of the person who signed the termination letter.
- Impartial Board of Review
- President of the Institute

Allegations of discrimination or harassment as basis for appeal are referred to ER or other unit as appropriate for immediate review and appeal process resumes with receipt of “no finding” disposition.
Example: Mike complains to his manager, Carol, that he is in the wrong job. Mike informs Carol that he is often asked to review other team member’s work and pitch in on projects not assigned to him. He feels like he should be reclassified into the Lead role. Carol disagrees and tells Mike he is correctly classified.

The next time Mike is asked to pitch in and review a team member’s project, he sends a tersely worded e-mail to Carol, copying Carol’s manager, stating that he absolutely will not do so.
The saga continues...

**Example:** Mike is coached by Carol and no longer refuses assignments. However, he regularly complains he is in the wrong job. His other work, too, begins to suffer and Carol documents consistent mistakes in reports submitted to her by Mike. She also documents the regular coaching meetings she has had with Mike. Carol is frustrated and goes to HR for advice.
INVESTIGATIONS VS. PERFORMANCE
MANAGEMENT

A final wrinkle.

Example: Mike is placed on a PIP by Carol, and Carol reports that Mike’s work has not improved, which she continues to document. Carol calls her HR Rep, Bob, to inquire about termination. The very same day, Mike visits Bob and tells him that he (Mike) has an ER complaint. Mike says that Carol is harassing him and he has texts and e-mails to support his allegations.
QUESTIONS?