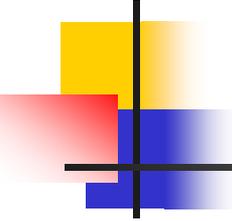


Campus Life Academy

June 2007

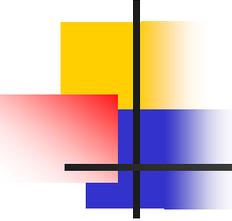
Staff Human Resources, UCSC

Cecile Morris



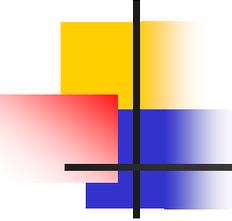
Agenda

- Welcome
- Supervision at UCSC
- Case Studies
- Performance Management



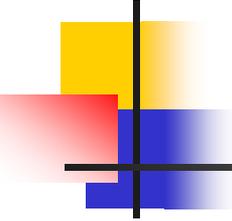
Ground Rules--Suggestions

- Confidentiality
- Start and end on time
- Listen without judging



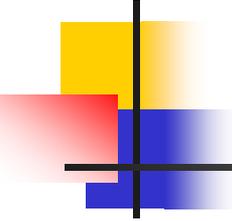
Purpose

To provide supervisors and managers a broad perspective of the opportunities and tools available to meet supervisory challenges



Introductions

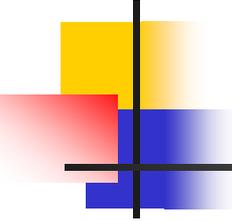
- Name
- Unit
- Number of employees you supervise
- 1 Expectation of this session



Supervisor Defined

Supervisory Definition:

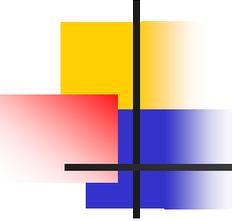
Any individual, regardless of the job description or title, having authority, in the interest of the employer to: hire, transfer, suspend, lay off, recall, promote, discharge, assign, reward, or discipline other employees, or responsibility to direct them, or to adjust their grievances, or effectively to recommend such action, if, in connection with the foregoing, the exercise of such authority is not of a merely routine or clerical nature, but requires the use of independent judgment.



Supervisor Defined cont'd

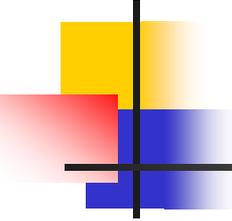
Employees whose duties are substantially similar to those of their subordinates shall *not* be considered to be supervisory employees.

The University refines the definition by requiring the supervision of at least 2 employees, and it looks at how closely aligned the supervisory is with management.



HEERA-Defined

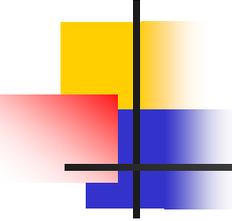
- **HEERA**
- The **HIGHER EDUCATION EMPLOYER-EMPLOYEE RELATIONS ACT (HEERA)** is the state law defining the relationship between the University, its employees and their unions. Many of the University's personnel policies refer to HEERA and it is the guiding principal behind the collective bargaining of all of the union contracts.
- HEERA is also the law that the California Public Employee Relations Board (PERB) uses to decide on Unfair Labor Practice (ULP) disputes between the University and its employees.



Supervisor As Agent of the University and Steward of the Public Trust

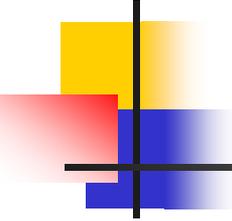
Supervisors:

- Represent their staff to the University
- Balance staff needs with University's needs
- “Stewardship (Block, 1996) is a willingness to be accountable for some larger body than ourselves -- an organization, or community.”
- Choosing service over self-interest



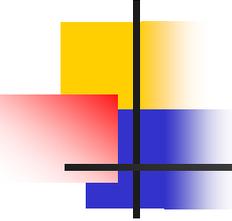
Common and Costly Mistakes Supervisors Make

- Lack of clear unit goals and objectives
- Poor delegation of work
- Lack of training in supervising “difficult” people
- Failure to orient staff



Cont'd

- Failure to train staff; yet spend time correcting errors
- Poor hiring practices
- Failure to communicate effectively in a multi-cultural context
- Lack of training in ethics

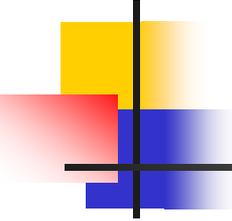


Principles of Community

We strive to be ...

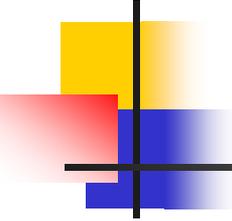
- Diverse
- Open
- Purposeful
- Caring
- Just
- Disciplined
- Celebrative

Developed & adopted in June, 2001



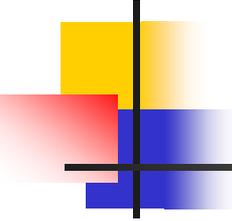
Principles of Community

- **The UCSC Principles of Community:** Diverse, Open, Purposeful, Caring, Just, Disciplined, Celebrative.
- UCSC faculty, staff, and students are expected to pursue these principles in an atmosphere of personal and intellectual freedom, security, respect, civility and mutual support.
- **Ensures that policies, practices, services, and behaviors support the Principles of Community.**
- **Ensures a diverse work force**



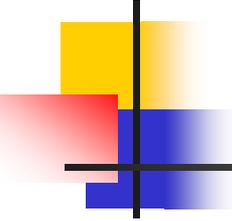
Diversity

- **Diversity:** A general term for indicating that many people with differences are present, welcome, and productive in an organization. Diversity refers to culture, race, ethnicity, language, national origin, religion, gender, age, disability, and sexual orientation.
- **Ensures that policies, practices, services, and behaviors support and accept diversity.**
- **Ensures that all employees participate in training that supports diversity.**
- **Ensures a diverse work force**



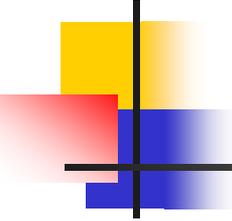
Health and safety

- **Health and Safety:** Safety and environmental issues are essential elements of ensuring the continued success of UCSC and its employees. As with any progressive organization, UCSC's primary strength is its people, the many individuals that comprise the faculty, staff, and student populations. To ensure that these individuals have a chance to contribute to the university's mission, each must be afforded a safe, healthy and environmentally sound workplace.
- **Ensures that policies, practices, services, and behaviors support accepted safety, health, and environmental standards.**
- **Managers and supervisors ensure that all employees participate in safety, health, and environmental protection, and receive appropriate training.**



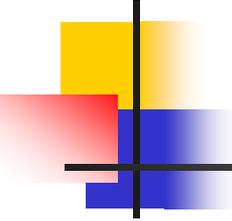
Leadership

- **Leadership:** Creating a climate of trust and mutual respect; increasing the potential for employees to be productive and to feel welcome, valued, and motivated. Satisfactory will be demonstrated when supervisors or managers:
- **Align their practices with the mission and values of their organizations, and discuss them with their employees at least annually**
- **Exhibit ethical leadership and model the conduct they expect from those they lead**
- **Perform their duties with honesty, accountability, fairness, and professionalism**
- **Undertake efforts to create a workplace climate consistent with the *UCSC Principles of Community***
- **Exhibit , responsiveness, flexibility, and effective communication skills**



Management

- **Performance Management:** Managing employee performance in alignment with the mission and goals of the department or unit and consistent with relevant policies and collective bargaining agreements. Satisfactory will be demonstrated when supervisors or managers:
Include employees in these processes
Develop and communicate the goals of the unit or department and strategies for achieving them
Clarify the roles of their employees in current job descriptions
Develop and clearly explain performance expectations
Provide timely and objective feedback about performance
Conduct constructive annual performance appraisals
Discuss learning and development options with their staff at least annually
Provide reasonable support for professional employee growth by supporting responsible initiative and innovation as appropriate learning experiences
Address employee performance problems in consultation with the appropriate UCSC authorities, consistent with university policies and collective bargaining agreements



Objectives

Are tied to unit goals and are:

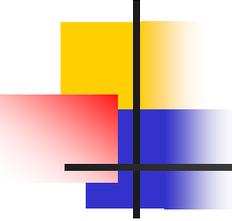
S specific about what will be done

M measurable

A attainable

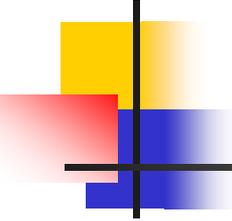
R results-oriented

T time bound



Standards

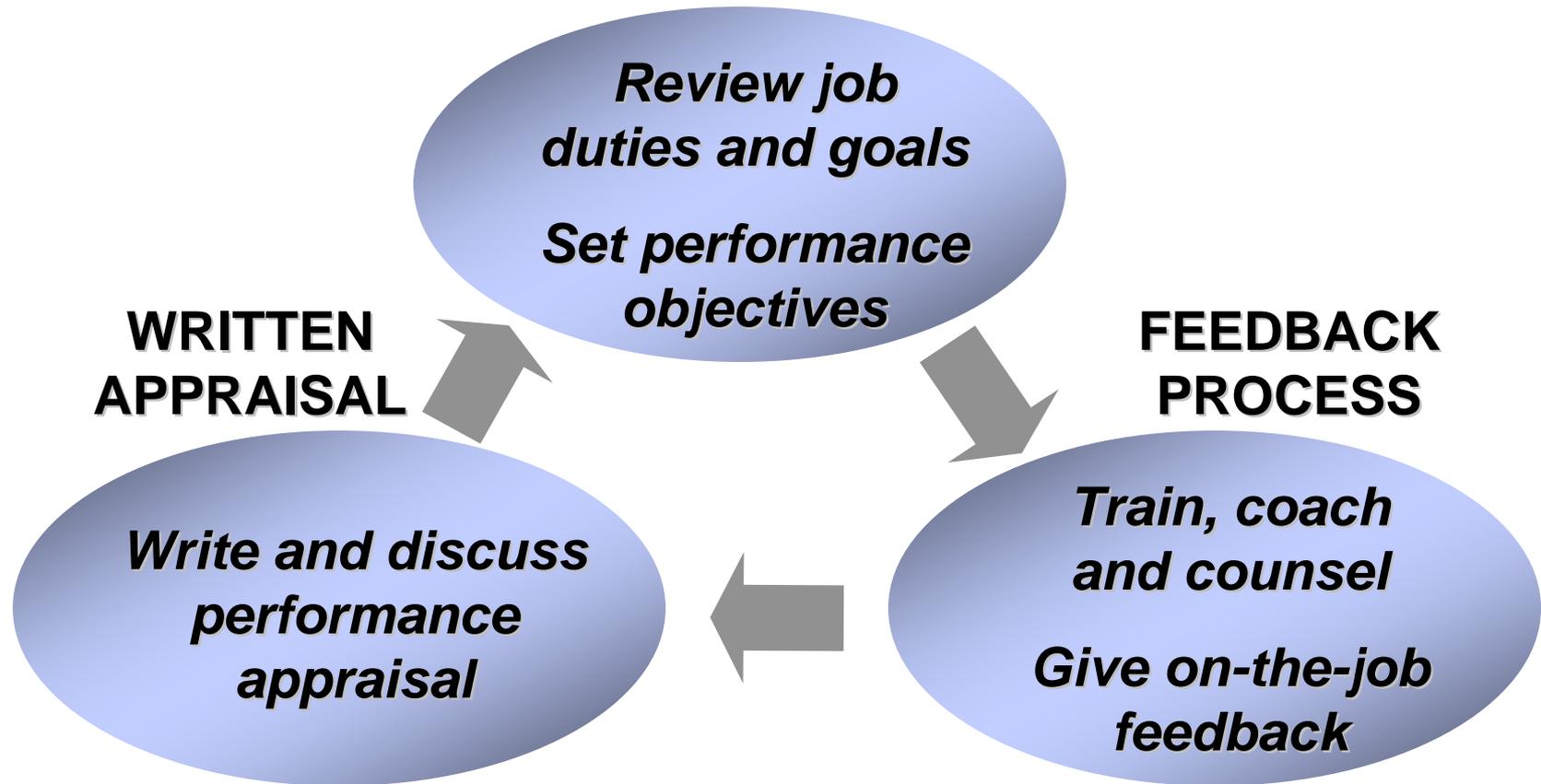
Expectations for how the work will be done and a basis for comparing your expectations with the employee's performance.

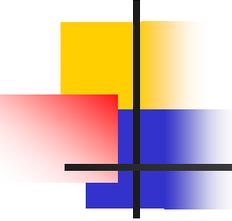


Case Studies

Performance Management Process

PLANNING and COMMUNICATION

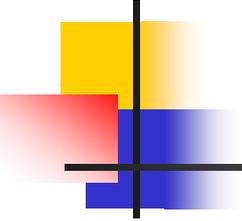




New Directions in Job Descriptions

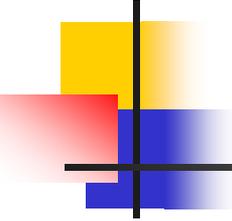
Job Descriptions should attract external candidates to reduce underutilization

- No longer use campus exclusive qualifications e.g.
 - UCSC Experience
 - Campus specific systems like PPS, FIS, AIS
- Include references to the campus priority of diversity and include cultural competencies in quals



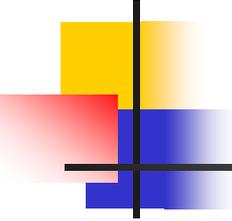
Planning for Performance Feedback

- Review products of work (reports and other deliverables)
- Discussions at regular meetings. Take notes!
- Review other's input (e.g. customer surveys)
- Accomplishments and completed objectives



Four Generations in the Workplace

4 Generations	Birth Years
■ Traditionalists ...	1925-1942
■ Baby Boomers ...	1943-1960
■ Generation X ...	1961-1981
■ Generation Y/Millennials	1982-2002

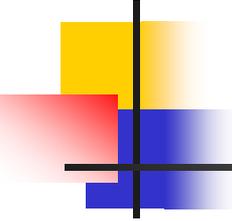


Formula for Coaching

“When you” [describe issue clearly]

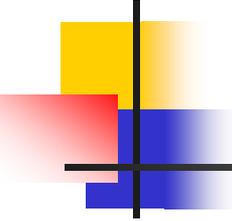
“It is a problem because” [impact on the unit or the University]

“What I would like you to do in the future is” [clarify expectations, develop action plan if needed]



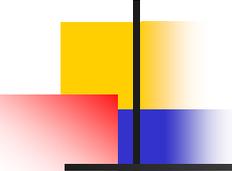
Important Considerations

- Personal barriers
- Communication and listening
- Conflict management
- Performance vs. training



Overcoming Barriers

- Look for patterns of your own behavior and reasons that have prevented you from being effective when giving feedback in the past.
- Think about how to overcome the barriers. Ask a trusted colleague for feedback or advice.
- Eliminating barriers can reduce stress.

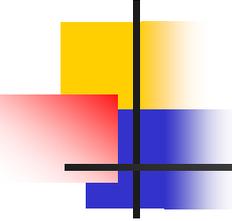


Communication and Listening

DUAL RESPONSIBILITIES: Speaker and listener share responsibility

STYLE-SHIFTING: Consider audience and how message will be received

REDUCING DEFENSIVENESS: Language, tone, gestures, facial expressions



Listening Tips

- Understand and suspend assumptions, biases, prejudices
- Focus on the speaker's ideas
- Restate to check for understanding
- Ask questions for clarification
- Listen for spoken and unspoken messages
- Control emotional "hot buttons"

Conflict Management

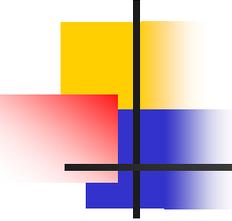
- ◆ Recognize potential conflict
- ◆ Analyze the causes of conflict
- ◆ Review and identify strategies for preventing and managing conflict



Performance vs. Training

An employee is not doing what you think he/she should be doing. Do you have a training problem or a performance problem?





When to Write Appraisals

At least once a year

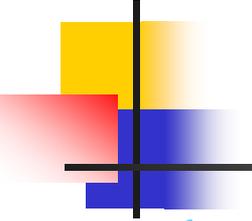
- At a regular interval
- Prior to the merit cycle
- According to bargaining agreements

Prerequisites

to Effective Performance

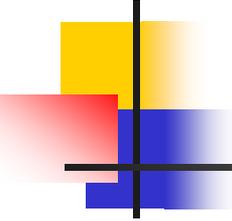
Appraisals

- ❖ Communicating expectations early and clearly, and reinforcing them often.
- ❖ Giving regular feedback to effectively manage performance and reduce anxiety



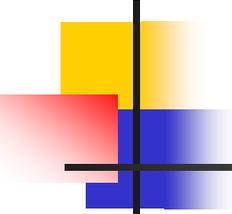
Steps in Writing Appraisals

1. Review the communicated expectations and actual performance.
2. Describe the behavior toward each expectation.
3. Write a summary of overall performance.
4. Rate the performance toward each expectation using the appropriate rating scale.
5. Provide an overall rating.



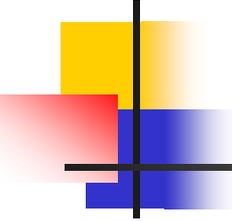
Reviewing Performance in Terms of Expectations

- Expectations
 - **Job description,**
 - **Goals and objectives,**
 - **Project assignments**
- Products of work
 - **Documents and deliverables**
 - **Notes from regular meetings**
 - **Input from others**
 - **Self evaluation**



Developing Appraisal Content

- What was done? Specific description of behavior in terms of expectations.
- How was it done? Qualitative description.
- Prove it! Have you supported the points that you are making with meaningful, quantifiable or qualitative examples?
- So what? What is the real impact of the behaviors that you describe?



Building the Appraisal

Evaluation

Goals and Objectives

Complete 5 projects
Improve report analysis

Job Description

Provide Customer Service
Analyze Reports
Supervise crew of 6

Customer Feedback

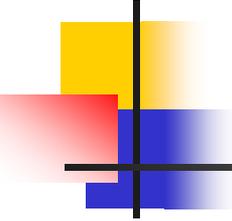
Customers are very happy
Crew is motivated and
well trained

Meeting notes

Completed 4 projects
Big project 1 week late
Covered vacant position

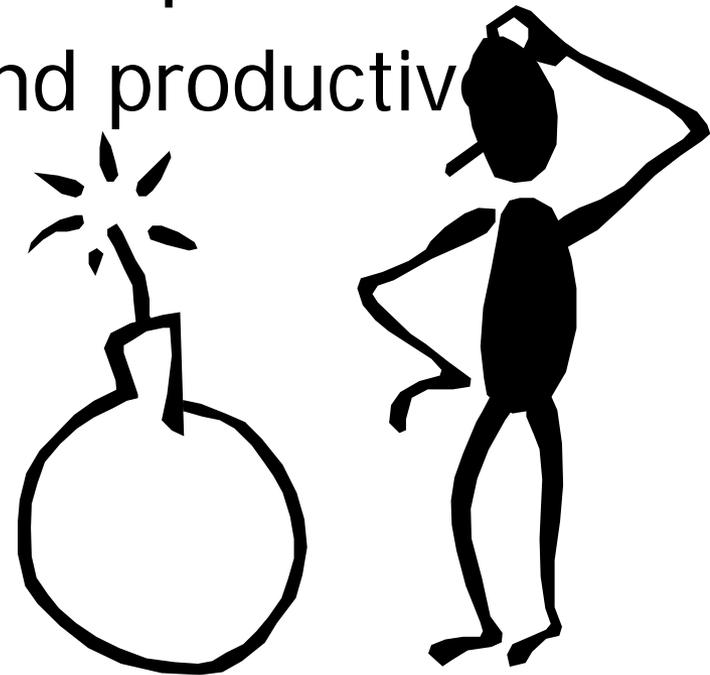
Reports

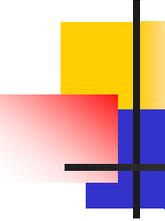
Good analysis in reports
Minor calculation errors



Avoiding Appraisal Pitfalls

- Evaluate the behavior, not the person
- Keep the focus balanced and productive
- Avoid biases
 - Horns and Haloes, Recency



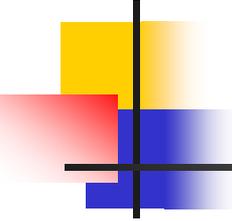


Self Appraisal



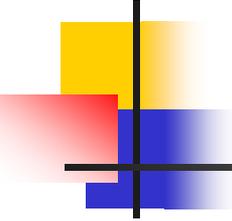
Who knows what you do at work better than you do?

- Gets the employee to reflect on their behavior before the appraisal meeting
- Balances the supervisor's perspective
- Helps the supervisor to get started on the appraisal



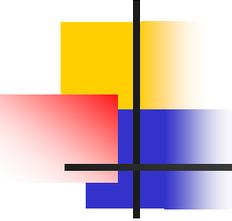
Counseling Memos

- Why do a counseling memo?
- When do you do a counseling memo?
- How do you write a counseling memo?



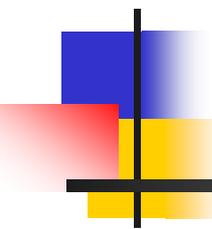
Key Factors

- Seriousness of the problem
- • Time span
- • Frequency and nature of the problem
- • Employee's work history
- • Extenuating factors
- • Degree of training and orientation
- • Work rules
- • History of disciplinary practices
- • Implications for other employees
- • Management backing



Test for Just Cause

- • Was the employee warned of the consequences of continued poor performance or misconduct?
- • Was the rule/order/expectation reasonably related to the orderly, efficient, and safe operation of the department?
- • Did the supervisor investigate before disciplining?
- • Was the investigation conducted fairly and objectively?
- • Did the investigation generate substantial evidence or proof?
- • Are the rules and penalties being applied evenhandedly and without discrimination to all employees?
- • Does the punishment fit the crime and the employee's past record?



Wrap Up
