Human Resources... 
from a manager’s perspective

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Managers Challenge: Performance & Satisfaction

Maximize Performance

Maximize Employee Satisfaction

Session Focus

1. Getting the talent you need
2. Protecting you, your people, and your organization
3. Motivating and retaining your people
4. Getting the performance you want

Talent Management

- Challenges, Issues, and Problems
- Partnership with HR
- Ideas, Solutions, Successful Practices
Ensuring a Strong Start

Know what you want
- A detailed job description will help reduce the number of resumes you receive from unqualified applicants.

Look for the intangibles
- A candidate’s skill set isn’t limited to functional abilities – it also includes how well he or she works in a collaborative environment.

Make a personal connection
- Hiring is more than just identifying a strong resume or profile – it involves having conversations with applicants to establish a rapport.

Use all your resources
- Take advantage of the tools available to you at your organization – for example, human resources can help with the job description, and your employees may be able to offer referrals.

Employee Records

- Human resource departments generate/receive volumes of information
- Laws mandate records and record keeping; laws are complex
- Employers often keep more records than are required
- Organizations are prudent to have a comprehensive records management program. Key reasons include:
  - Controlling the creation, growth and accessibility of company records
  - Reducing operating and storage costs
  - Improving efficiency and productivity, as well as office appearance
  - Assisting regulatory compliance and reducing litigation risks
  - Protecting important company information
  - Ensuring that information is readily available

HR Records Management
Need for Records

- A record or evidence of transaction, events, decisions, actions
- Documentation for work processes and decisions
- Information and data for organizational needs
- Accountability and transparency
- Defense against litigation and other actions

What are Records?

Records: . . . letters, words, sounds or numbers, or their equivalent, set down by handwriting, typewriting, printing, photostating, photographing, magnetic impulse, chemical or electronic recording, or other form of data compilation.

- Rule 1001(a), Uniform Rules of Evidence

Characteristics of a Record

- Content, Context, Meaning
- Authenticity - Is what it purports to be; created by person purported to have created it; created at the time purported to be created.
- Reliability - Approximate to transaction and consistently reported over time
- Integrity - Unaltered and protected
The Personnel File

- Application
- Reference Checks
- Offer Letter/Terms and Conditions
- Job Descriptions
- Emergency Contacts
- Policy Acknowledgements
- Training/Certifications
- Performance Plans/Goals
- Performance Appraisals
- Flexible Work Agreements
- Attendance
- Compensation and Benefits

What should not be in the Personnel File
- Medical Information
- I-9
- Supervisor's Notes
- Investigative Files
- Unnecessary Material
  - Private Life
  - Political Beliefs
  - Unsubstantiated Criticisms

Legal Duties For Records

- Create records accurately
- Maintain required records for length of time and format
- Ensure security and confidentiality of records
- Destroy records according to legal principles
- Provide appropriate access to records
  - Individual or designee
  - Public records (not personnel files)
  - Litigation or government investigation
- Duty to comply with other procedures

Records Management Promotes Protection

- Definition of a policy – Clearly defines “record”
- Retention schedule – Identifies retention period
- Access – Who gets access
- Storage and format – Designates specific location
- Security and privacy – Must protect confidentiality
- Compliance with retention laws
- Careful and timely destruction – Review retention
- Consistent policy implementation and periodic audits
Qualities Of Good Records Management

- Consciously designed system integrates record keeping practices
- Managing records for the entire agency and not a single program
- Understanding the function of records storage and reformatting
- Understanding the implications, impact and limits of technology
- Recognizing the value of records and allocation of resources accordingly
- Understanding how the value of records and information changes over time
- Incorporating policies and procedures developed by records management into the daily business processes of the agency

Defensible Solutions In Records Management

Defensible solution

- An approach that can be supported with clearly documented policies, processes, and procedures

Defensible Disposition or Defensible Destruction

- Helps an organization and proves the destruction process – who, how, when, and where

Electronic Maintenance of Files

- Electronic records can capture efficiencies:
  - Space savings
  - After initial investment – electronic records cost less to maintain
  - Electronic records can be evidence of an organization’s dedication to sustainable practices
- Electronic records can be more effective
  - Less chance for files to be irreparably damaged
  - Can be easily stored – can reduce redundancies
  - Makes it easier for HR to maintain files in one place
- Electronic records require forethought
  - Ensure that information does not become trapped in obsolete technology
  - Partnership between front-line managers, human resources unit, and information technology unit
Electronic Records must be…

- Accurate: reflects the original record
- Accessible: Record can be retrieved
- Authentic: can be substantiated as accurate
- Reliable: produces the original record every time
- Legible: letters and numbers are identifiable
- Readable: Groups of letters recognized as words

Legal Concerns of Electronic Employee Files

- It is important that some documents have time and date stamps that reflect the original creation date and that creation date remains visible and unchangeable even with future revisions
- May be beneficial to document who has accessed a file over the entire time the file is kept
- The format used should maintain the integrity and authenticity of the documentation
- Documents need to be easily searchable to be immediately accessible
- Some documents may still have to be kept in paper forms

The Problem with Email

- E-mail language not to the same standard as formal letter or memo
  - Loose language
  - Incomplete thoughts
- Authors/recipients “selectively” destroy E-mail records
- E-mail subject to litigation as an “admission”
- Restrictions of E-mail reduce efficiency
Employee Wellness & Safety Programs

Human resource professionals play a key role in designing/managing workplace wellness and safety programs.

- Advocate for establishment of such programs to achieve strategic objectives
- Design and implement various types of wellness and safety programs
- Enlist the help of experts when and where needed
- Communicate to employees about the organization’s wellness and safety programs and components to encourage and increase participation in such programs.
- Evaluate the effectiveness of workplace wellness and safety programs
- Monitor changes in the law and in the global employment environment relative to wellness and safety programs.
- Make recommendations for and implement improvements in wellness and safety programs
- Coordinate with Risk Management and others to ensure effectiveness of programs

Wellness Programs

- Help employees deal with preventable and chronic conditions e.g., obesity, high glucose and elevated cholesterol.
- Motivate employees to complete certain health and wellness activities such as annual health risk assessments, smoking cessation programs or weight loss programs.
- Share preventive health and wellness information through varied channels, including wellness publications or health fairs, to help make employees aware.
- May offer programs and activities such as a 24-hour nurse line, CPR and first-aid training, massage therapy services, or onsite nap rooms, sick rooms or medical clinics.
Safety Programs

Routine work can dull alertness and relaxed attitude can replace caution with recklessness

Imperative that HR works with Risk Management departments to ensure safety programs are in place

Reasons Why Workplace Safety Is Important

1. Safety programs create productive work environments
2. A safe work environment produces happier employees
3. Absenteeism drops when effective safety programs are introduced
4. Safety reduces business costs and disruption
5. Work premises are kept to higher standards; culture of safety
6. Safety programs enable an organization to better serve customers
7. Safe work environments enhance the brand value and goodwill for a company
8. The organization’s most valuable asset is protected – its people

Employee Retention
"A challenge for leaders in the twenty-first century is attracting and retaining not just employees, but the best employees – and more important, how to motivate them so that they work with passion, energy, and enthusiasm."

Leaders

According to strategic planning consultant Leigh Branham, SPHR, 88% of employees leave their jobs for reasons other than pay:

Seven main reasons why employees leave a company:
- Employees feel the job or workplace is not what they expected
- Mismatch between the job and person (reality shock)
- Too little coaching and feedback
- Too few growth and advancement opportunities
- Employees feel devalued and unrecognized
- Employees feel stress from overwork and have a work/life imbalance
- A loss of trust and confidence in senior leaders

Why Do Employees Leave?

Motivational Strategies

1. Clear Performance Expectations
2. Remove Obstacles
3. Reinforce Performance Behavior
4. Provide Salient Rewards
5. Fair and Equitable Treatment
6. Timely Rewards and Accurate Feedback
Developing Empowerment

1. Vision and values
2. Personal mastery experiences
3. Modeling successful behaviors
4. Providing support
5. Enhance emotional attachments
6. Providing information
7. Providing resources
8. Connecting to outcomes
9. Creating their confidence in you

Prioritize Retention Methods

Here are four important steps –

1. Foster trust and confidence in you
2. Make employees feel valued
3. Communicate effectively
4. Establish clear performance expectations

Fostering Trust and Confidence

- Reliability and consistency
- Fairness and equity
- Caring and personal concern
- Openness and honesty
- Competence and expertise
Communication

Process
• The Sender
• The Message
• The Medium
• The Receiver
• Feedback
• Noise

Components
• Words (7%)
• Tone (38%)
• Non-verbal (55%)

Filters
• Personality
• Style
• Life experiences

Barriers
• Internal
• External
• Semantic

Generational Differences

1927-1945 - Silent Generation or Traditionalists
1946-1964 - Baby Boomers
1963-1981 - Gen X or the Busters
1981- 2002 - Gen Y or the Millennial
2020 - Gen Z or the Digital Generation

 “… most individuals feel that they are very effective communicators. They feel that communication problems are a product of others’ weaknesses, not their own.”

Veterans

Age: 1925-1945 – Veterans or Traditionalists

- Conservative
- Loyal to their employers
- Most concerned they will have enough retirement to last for their remaining years
- Concern for quality health care
- Long-term care benefits

Boomers

Age: 1946-1964 – 32% of Oldest Still Working

- Baby Boomers - least demanding generation in terms of their employee benefits
  - 71% value their retirement
  - 68% value health care
- Existing benefits packages benefit this generation
- 63% plan to work part-time
- Long term care benefits

Millennials

Age: 1980 – 1995: Millennials

- Tend to be drawn to novel experiences, such as eating at an exclusive, pop-up diner;
- Or, participating in an event that creates originality and excitement
Gen Z - The 5th Generation

In the workforce by 2020 - Gen Z or GenEdge

- Prefer independence
- Entrepreneurial and diverse
- Believe they can make a difference
- A turn towards respect, responsibility, and restraint?
- Yet another change will be needed for benefit strategies

How Do We Communicate?

Our four generation workforce provides challenges

- Acknowledge the diversity in the workplace
- What types of diversity?
- What obstacles might some encounter?
- Recognize how values and attitudes impact job performance
- Help workers build effective careers
- Develop programs to help workers create work-life balance

Make Them Feel Valued

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BECOME A STUDENT OF YOUR EMPLOYEES!
What is the best way to recognize an employee’s outstanding work:

• A gift card for a NASCAR driving experience?
• A thank you card?
• Asking the boss to attend a meeting with your employees during which you thank them for their specific contributions?

_The answer is it depends._

• Acknowledging employees’ work and behavior is an important retention strategy, but organizations need to keep in mind generational preferences and the importance of the personal touch.

Recognition & Rewards

Employees can be recognized for a variety of reasons

• Years of service
• Outstanding performance
• Certification or degrees attained, and retirement
• But even “pat on the back” recognition for an employee, while universally appreciated, needs to keep generational differences in mind (very important), according to a July 2015 report from the Incentive Research Foundation (IRF).

Recognition for the Generations

• Baby Boomers (those born between 1946 and 1964) like formal recognition in front of teams or groups
• Millennials prefer the recognition to reflect a “spirit of fun, with less formality and more frequency,” Allan Schweyer writes in the IRF report Generations in the Workforce & Marketplace: Preferences in Rewards, Recognition & Incentives
• Members of Generation X (those born between 1965 and 1979) prefer receiving recognition privately or within a small group
Performance Management

Performance management is a means of getting better results from the organization, teams and individuals by understanding and managing performance within an agreed framework of planned goals, standards and competency requirements.

Michael Armstrong, Performance Management

Performance Management… from an organizational viewpoint

One of the most important reasons for having a performance management system is to establish and uphold the *principle of accountability*.

Purpose of performance is four-fold:
- Tell me what you want me to do
- Tell me how well I have done it
- Help me improve my performance
- Reward me for doing well
Managers Challenge

Performance Management is a tool to drive performance and employee satisfaction

Performance Management v. Performance Appraisal

<table>
<thead>
<tr>
<th>Performance Management</th>
<th>Performance Appraisal</th>
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<tbody>
<tr>
<td>A continuous process ...</td>
<td>A periodic event ...</td>
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<tr>
<td>of managing and improving individual performance to better support an organization’s mission and strategic goals.</td>
<td>that produces a formal record of a supervisor’s opinion of the quality of an employee’s work.</td>
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Ensures Mutual Understanding

Organization
- What is to be achieved
- How it is to be achieved
- How achievement will be measured

Employee
- What do you expect of me
- How am I doing
- How can I improve and develop
- WIIFM
Performance Appraisal Process

1. Setting performance standards
2. Communicating standards
3. Measuring standards
4. Comparing standards
5. Discussing results
6. Taking corrective action

Elements of Performance Management

1. Job analysis, job descriptions and job-specific work behaviors
2. Performance planning
3. Feedback and coaching (communication) – essential!
4. Documentation
5. Performance evaluation/appraisal
6. Rewards and recognition
7. Supervisory training

Job Analysis

*Foundation for performance appraisal*

Delineates job duties and responsibilities, as well as knowledge, skills, and abilities (KSAs) to accomplish the job

Should be clearly understood by employer… and employee
Job Analysis
Objectives include:

- Determine most efficient methods of doing a job
- Enhance employee's job satisfaction through good job design
- Identify training methods
- Match job specifications with the person-qualifications in employee selection
- Develop performance standards that anchor the appraisal system to specific, job-related tasks objectively and legally

Job Descriptions
A basic HR management tool that can help to increase individual and organizational effectiveness.

A good job description helps the incumbent to understand:

- Their duties and responsibilities and their relative importance
- How their position contributes to the mission, goals and objectives of the organization

For the organization, good job descriptions contribute to organizational effectiveness by:

- Ensuring that the work is aligned with the organization’s mission
- Helping identify the most appropriate employee for new duties and realigning work loads

Importance of Position Descriptions

Failure to align a performance appraisal system with organization’s position descriptions —

- Introduces confusion
- Prevents clear understanding of the job and how employees will be evaluated
- Leads to ineffectiveness
Performance Planning

• Clarify expectations and standards for the job
• Set performance and developmental goals
• Align with organizational mission and values
• Use SMART Goals

What makes a good goal? SMART Goals

• **Specific** – specify the action, results or behavior that will be demonstrated or achieved
• **Measurable** – quantifiable amount of action, result or behavior that is expected
• **Attainable** – a good balance of challenge and attainability
• **Relevant** – aligned with position and the goals of the agency
• **Time-Bound** – deadline or milestone for the achievement of the goal

Coaching and Feedback

• Answers “How am I doing” and “How can I get better?”
• Discuss performance on a regular basis (not just during formal reviews)
• Share feedback about the employee's successes and areas needing improvement.
• Seek employee input about the work process and results.
Allow Two-Way Interaction

- Listen to your employee
- If there are areas that need improvement
  - Encourage the employee to come up with solutions
- If an employee disagrees with you
  - Allow him/her an opportunity to discuss his/her feelings
- Be prepared to adjust your views, if appropriate

Evaluating Performance

Job-relatedness is chief standard for acceptability of a performance appraisal measurement is judged

Performance measures must be
- Reliable, practical, and controllable
- Performance standards are heart of all effective appraisal systems

1978 Uniform Guidelines on Employee Selection Procedures
- Guidelines incorporate a single set of principles designed to assist employers, labor organizations, employment agencies, and licensing and certification boards to comply with requirements of Federal law prohibiting employment practices which discriminate on grounds of race, color, religion, sex, and national origin.

HR Legislation

- The Americans with Disabilities Act Amendment Act, prohibits discrimination against a qualified person with a disability who can perform the essential functions of the job with or without accommodation;
- Title VII of the Civil Rights Act of 1964, prohibits discrimination on the basis of race, color, religion, sex, or national origin;
- The Age Discrimination in Employment Act of 1967, prohibits discrimination against an employee age forty or older because of the employee’s age;
- The Family and Medical Leave Act, provides unpaid, job-protected leave to eligible employees for certain family and medical reasons without loss of health insurance benefits;
- The Uniformed Service Employment and Reemployment Rights Act, provides rights and benefits to eligible employees on the basis of certain military service; and
- The Fair Labor Standards Act, governs minimum wage and overtime compensation.
Title VII – Civil Rights Act of 1964

Prohibits employment discrimination based on race, color, religion, sex and national origin by employers involved in interstate commerce.

“...It shall be an unlawful employment practice for an employer –
To fail or refuse to hire or to discharge any individual, otherwise to discriminate against any individual with respect to his compensation, terms, conditions, or privileges of employment, because of such individual’s race, color, religion, sex, or national origin; or
To limit, segregate, or classify his employees or applicants for employment in any way which would deprive or tend to deprive any individual of employment opportunities or otherwise adversely affect his status as an employee, because of such individual’s race, color, religion, sex, or national origin.”

Griggs vs. Duke Power, 1971

Lawsuit filed by Willie Griggs & 12 other African-American employees of Duke Power’s Dan River hydroelectric plant – Draper, NC

Case considered discrimination claims under Title VII of the Civil Rights Act of 1964

Case decided by US Supreme Court, 1971

Most important case regarding job relatedness of evaluation criteria.

Griggs vs. Duke Power, 1971

The Court ruled...

Title VII of the Civil Rights Act of 1964 prohibits not only overt discrimination, but also practices that are fair in form, but discriminatory in operation.

To determine whether an employment practice that causes a disparate impact is illegal, the touchstone is business necessity – the relationship of the practice to job performance
Disparate Impact

Adverse effect of a practice or standard that is neutral and non-discriminatory in its intention but, nonetheless, disproportionately affects individuals belonging to a particular group based on their age, ethnicity, race, or sex.

A **facially neutral employment practice** is one that does not appear to be discriminatory on its face; rather it is one that is discriminatory in its application or effect.

Disparate Impact

“Selection tests should discriminate among job applicants only on the basis of their relative ability to perform the work in question.”

*The New Public Personnel Administration, Nigro, Nigro, Kellough, 2007, p.100*

Connecticut v. Teal, 1982

Lawsuit filed by African-American employees of a Connecticut state agency.

Case considered discrimination claims under Title VII of the Civil Rights Act of 1964

- Exam Passage Rate – black employees passed examination at a disproportionately lower rate
- Promotion Rate - however, blacks were promoted at a higher rate

Case decided by US Supreme Court, 1982
Connecticut v. Teal, 1982

The Court ruled...

Title VII of the Civil Rights Act of 1964 prohibits a written examination which has a disparate impact on individual black candidates in the promotion process, even though the ultimate promotion decisions do not result in overall under-representation of blacks as a group.

Promotional exam was artificial, arbitrary, or unnecessary barrier vs. job related (it did not measure skills related to effective performance as a supervisor).

Each component of personnel processes is subject to challenge and review for job-relatedness, including performance appraisals. Applied Uniform Guidelines.

Performance Diary

- Document performance – good and bad
- Document actions – coaching and feedback, counseling, disciplinary actions
  - Provides better insights in the coaching process
  - Provides a discipline of coaching and feedback
  - Provides legal documentation
  - Store in a secure place

Performance Diary

Include the following in a performance diary:
1. conversations about work assignments
2. informal counseling or coaching sessions
3. commendations (i.e., “good work” kudos)
4. customer complaints
5. disciplinary actions
6. employee action and your action
Appraisals

Performance Appraisal Grouped Into 2 Broad Categories

- Performance
- Developmental

Formal Appraisals

- Annual, formal review of efforts and achievement of goals.
- Aim is to support continuous improvement and achieving targets
- Discuss challenges and events that impacted performance
- Frank, sometimes difficult conversations – dialogue is an opportunity to reflect, which is important for adult learners

Delivering the Performance Appraisal

1. Share your feedback about the employee's performance
   - Strengths and successes, as well as areas needing improvement
   - Rationale for each rating - include behavioral examples whenever a rating is above or below "achieves."

2. Invite and listen to the employee's assessment of his/her performance
3. Ask the employee to share his/her feedback for you, including ideas for improvement.

4. Re-enter the performance planning phase
   • Define expectations for the coming year
   • Set performance goals
   • Identify learning and development goals

Rater Errors

- **Job responsibility errors** – Substitution for accurate measure of incumbent’s job performance
- **Contrast errors** – Arise through interpersonal comparisons
- **Uni-dimensional errors** – One item dominates the evaluation process so that other critical factors are ignored
- **Interpersonal errors** - Biases

Rewards and Recognition
Supervisory Training

Supervisor training is critical for effective performance management

• Need instruction on proper use of performance appraisal

• Grievance and discipline appeal provisions
  • Builds in safeguards against managerial and supervisory abuse

Self-Awareness

• Understand what you bring to the table
• Evaluate relationships with employees – do they trust you
• Might require changes – get a coach, get feedback
• Develop your confidence in your role as a manager
• Do your employees know and understand the roles of a manager?

Interpersonal Skills

Effective Questioning
• Closed Questions
• Open Questions

Effective Listening/Observation
• Ensure you are at the same meeting
• Practice Reflective Listening
• Observe Body Language
• Silence is not approval

Effective Feedback

Conflict Resolution
• Information Sharing
• Problem Solving
• Creative Thinking

Emotional Intelligence
• Self Awareness – sense of self, strength
• Self Management – understand/control feelings
• Social Awareness – empathy
• Relationship Management – influencing, team building