

Simulation University  
Department of  
Educational  
Initiatives:  
Performance Systems  
Analysis

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<b>Table of Contents</b>	<b>Page</b>
Organizational Analysis	3
Environmental Analysis	6
Gap Analysis	8
Cause Analysis	9
Interventions	14
Performance Improvement Plan	17
Evaluation	20
Performance Analysis Flowchart	21
Appendix A	24
Appendix B	26
Appendix C	27
Appendix D	28
Appendix E	29

## **Organizational Analysis**

### **Vision Statement**

We believe that pure excellence in education requires a commitment to impartiality and social integrity. Thus, we strive to prepare innovative, socially proficient, analytically reflective graduates who possess profound understanding in their field and work collaboratively to achieve inclusive high quality education.

### **Mission Statement**

In keeping with the Simulation University mission Statement, the Department of Educational Initiatives prepares students to take accountability for social responsibility and facility in the global community. The Department seeks to develop future educators and leaders, who are not only well-educated in their disciplines, but are culturally receptive, compassionate, and educated in their collaborations with students and their families. The Department of Educational Initiatives at Simulation University is committed to building and maintaining working relationships with our students, faculty, recruiters, alumni, and volunteers grounded on mutual reverence and accountability. We cultivate student success through innovation and value-added education programs. The core competencies emphasized within our program include: awareness, talent, ethical behavior, motivation, and innovation. Most importantly, this is completed with collaboration through local and State guidelines. In these ways, awareness, proficiency, and service unify in our students to cultivate a lifelong obligation to excellence and equity in our schools and society.

### **Goals**

The goals of the Department of Educational Initiatives are to prepare pre-service education graduates to:

- apply knowledge of how learners develop socially, cognitively, emotionally, aesthetically, physically, and morally in the process of meeting their individual developmental needs
- demonstrate an understanding of the role physical diversity, linguistic diversity, culture, environment, socio-economic status, race, religion, sexual orientation and gender play in the development of the individual and to use that understanding to design optimal learning encounters
- demonstrate an awareness of the sociological and political forces affecting society, learners, families, and teachers, and how these impact learning environments
- establish high expectations for all learners and ensure that *all* learners regularly experience success
- teach, motivate and inspire learners through modeling effective and persuasive oral and written communication skills

- possess a positive, transformative inter and intrapersonal ability
- meet the diverse learning needs of individual students by tenaciously pursuing creative, diverse and unique instructional techniques
- possess knowledge of pedagogy and facility for implementing progressive, active techniques such as cooperative learning, interdisciplinary and thematic instruction, discovery learning, direct instruction, authentic instruction and performance assessment
- possess substantive instructional planning facility for developing long-range and short-range objectives including lesson and unit planning
- diligently pursue learning strategies that model the application of creative thought and develop higher order thinking abilities in learners
- possess the ability to analyze the entire classroom context including the learner, subject content, climate, and instructional methods, to create a compelling learning environment
- apply learning theory and philosophy to the practical aspects of classroom management and facilitation
- apply traditional and authentic assessment strategies and data to meet the diverse needs of learners,
- possess cooperative and collaborative planning, working, teaching and learning skills,
- have deep and substantive content knowledge,
- possess substantive problem-solving and decision-making skills and
- possess an understanding and commitment to the legal, ethical, and moral responsibilities of teachers.

### **Philosophy of Teaching and Learning**

The best way to prepare learners is to equip them with problem solving strategies that will enable them to cope with new challenges in their personal and professional lives and to discover what truths are relevant to the present. History demonstrates that knowledge that is true in the present may not be true in the future.

The teacher's role is to serve as a guide, whose primary responsibility is to act as a resource person for student learning. In the process of creating learning experiences and environments, the teacher takes into account the well-being and development of the whole learner in terms of their physical, emotional, social, aesthetic, and intellectual and language developmental needs. The teaching and learning process needs to be characterized by extensive interactions between teacher and learners and among learners themselves. Teachers provide learners with experiences that enable them to learn by doing, because meaningful learning is an active process.

School is a place where learners develop personal, as well as social values. In the words of Maxine Greene, “We have to know about our lives, clarify our situations if we are to understand the world from our shared standpoints.” Schooling needs to prepare learners with a broad understanding of the democratic process and the role of the individual in that process. Such an understanding includes how governance structures operate in a democratic society. Schools should not only transmit knowledge about the existing social order; they should seek to reconstruct it as well. Learners must be enabled to understand how individuals can take advantage of the democratic process and to act as change agents even as they pursue efforts to restructure the society in positive ways.

Teachers need to place a premium on bringing the community, if not the world, into the classroom. Learning experiences need to include field trips, telecommunications, community-based projects and opportunities to interact with persons beyond the four walls of the classroom.

Teachers must allow learners freedom of creative choice and provide them with carefully designed experiences that will help them find meaning in their lives and to find their own answers to questions. This does not suggest, however, that learners may do whatever they please. The choices that are offered to learners are well structured and are designed to provide optimal learning. Curricula are judged by whether or not they contribute to the individual's quest for personal and professional meaning. Appropriate curricula result in an increased level of personal awareness, as well as content area knowledge.

### **Critical Issues**

There is a change in management within the Department of Educational Initiatives office at Simulation University. While the change with is welcomed with positivity and excitement by members of the faculty and office staff, there is an office staff member whom exhibits resistant behavior. This behavior includes disrespectful attitude towards new manager, late reports for work, consistent absenteeism, and assignments disregarded and/or completed with poor intentions.

- Disrespectful behavior creates poor morale and interferes with relationships between new management and staff.
- Late reports cause friction between new management and co-workers. In certain instances, the late reports have required other staff members to stay passed their schedule time to leave.
- Absenteeism has caused task build-up and friction between manager and colleagues; many absences are listed as “no call/no show”.
- Task completion is imperative. The department must report the completion of various standards and requirements to the State. When a particular task is not completed (i.e. inputting rubric scores into department database) it can interfere with State and local government collaboration.

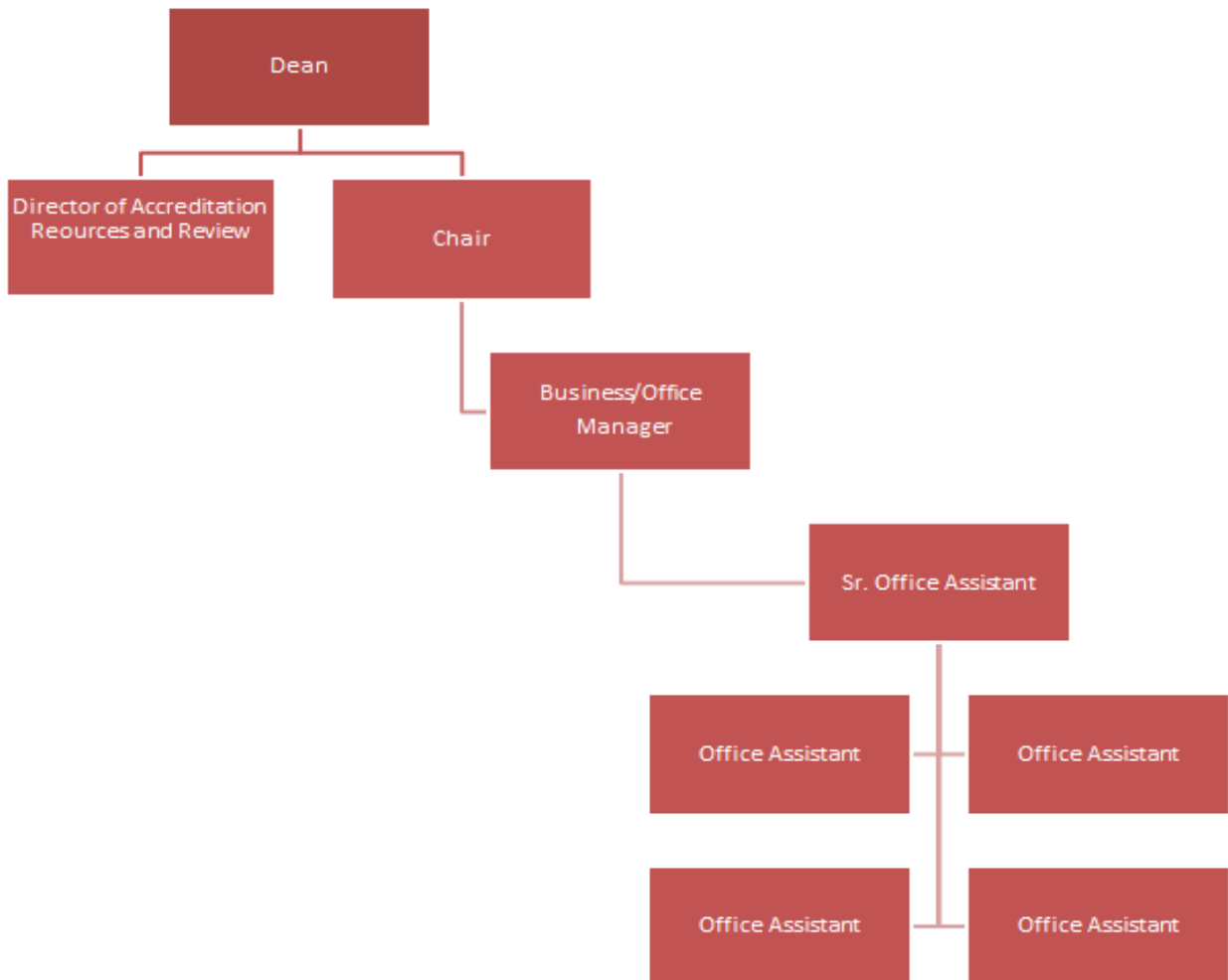
## Environmental Analysis

### World

The organization develops curriculum to meet State regulations. The organization also strives to develop/produce future educators with efficiency and social understanding. The department has developed partnerships including those with 2 county districts and an educational supply corporation.

### Workplace

The work environment is within an office that is a suite within the main building of the university. The suite provides each of the workers their own desk space with a university provided computer along with internet access. Necessary supplies are frequently ordered through a local supply company. If supplies are not available, they can be delivered within 24 hours. There are 2 phone line provided and are primarily used by the Business Manager and Senior Office Assistant. A copy machine and fax machine are provided. However, in the event that these machines are not functioning properly, there are 3 additional copy machines and 2 additional fax machines located within the building.



## Hierarchy Expectations

- **Business Manager:** Oversees overall operation of the office. This includes managing and executing budget initiatives including purchasing and disbursement of checks. This person is liaison between the department and other departments, organizations, and vendors. This person also coordinates and distributes contracts for full-time and part-time faculty. The Business Manager works closely with Dean and Department Chair to ensure that goals for department office are met with the assistance and supervision of Senior Office Assistant and Office Assistants. It is anticipated that this person has, at minimum, a Bachelor's degree and 3 years of managerial experience.
- **Senior Office Assistant:** This person acts as supervisor to Office Assistants in the Business Manager's absence. Primary focus of the Senior Office Assistant is to track student progress and develop reports required by the State and university. It is expected that this person has, at minimum, a High School diploma and 3-5 years of office experience.
- **Office Assistant:** This position is primarily clerical and not administrative. A person within this position assists Business Manager and Senior Office Assistant with data entry, filing, document tracking, copying, and development. It is expected that a person within this position has, at minimum, a High School diploma. No previous experience is required.

## **Gap analysis**

### **I. Performance Issue:**

There is an office assistant who exhibits resistance to change by expressing negative behavior. This behavior includes disrespect towards the manager, late reports for work, consistent absenteeism and assignments are disregarded and/or completed with poor intentions.

### **II. Description of current behavior – current performance level:**

Office assistant's current behavior includes a disrespectful attitude toward a new manager, late reports for work, consistent absenteeism and disregarded assignments being completed with poor intentions.

### **III. Describe company/department's desired behavior:**

This position is primarily clerical and not administrative. A person within this position assists Business Manager and Senior Office Assistant with data entry, filing, document tracking, copying, and development. The department's desired behavior is that all managers as well as staff work collaboratively with each other in order to work cohesively. It is expected that the office assistant develops competence and ability to collaboratively work with other office staff members and managers. Additionally, it is anticipated that the office assistant develops respect for management.

### **IV. Define the importance of the discrepancy (how is this gap negatively impacting the company/department).**

1. This discrepancy (behavior) would impact the department negatively as the office assistant does not respect current position.
2. There is low morale among the other staff members and manager
3. Reports are not being properly done on time thereby putting the manager's management skills in question.
4. In addition, these reports must be completed per the standards and requirements of the State. If not, the institution may lose accreditation because of lack of vigilance in report process.



## Cause Analysis

### Introduction

Simulation University's Department of Educational Initiatives has recently had a problem with one of the Office Assistants behavior and disregard toward the Business Manager. The assistant's resistant behavior includes the staff member being late to work or not showing up into the office at all. Reports have also been turned in late, ignored, or completed with poor intentions. From the assistants behavior a performance gap has occurred in the office, as tasks are not being submitted in a timely manner. The Office Assistant is the driver of that cause.

Even though it seems that the cause is only from the Office Assistant, also known as the worker, there are a few other areas that should be looked at that are driving the gap. The worker would be considered the main driver of where the problem originates because of his resistant behavior that is occurring in the office, causing him to not meet the performance requirements expected of them. The workplace is also a part of the driver since the office assistant does not work well with the Business Manager. If the office assistant is involved with many extracurricular activities outside of the workplace, then the world may also be a driving cause to the human performance as it is now making the assistant late or absent at work.

Looking at the office assistant as the main driver, there is a very high impact on the performance environment. With the main driver being the worker, the assistant may be causing other areas within the office to lack meeting previous performance levels that were once easily attainable. It seems that the office assistant's behavior and attitude are ruining the morale in the entire workplace. By not completing tasks in a timely manner, the office assistant's behavior could hurt the performance and reflection of the entire department. This could also potentially make other staff members believe that this type of behavior will be tolerated. The department may need to evaluate if any negative consequences should be given to the resistant staff member.

In addition, a Performance Support Tool (Appendix A) chart was created to probe for environmental support drivers or causes. The performance questions pertaining to the situation are answered in further detail (Appendix B).

### Potential Causes of Performance Problem

There could be a number of causes that are driving the performance problem. Some of these causes include:

- **Change in Management:** The assistant might not get along with the transition of the new manager and does not know if there are new expectations that must be met.
- **Time Management:** If the assistant is involved with many extracurricular activities, the assistant may be spreading himself too thin and may not be able to meet all of their job requirements.
- **Expectations:** The office assistant or Business Manager might not understand what is expected from one another. There could be some confusion or a barrier that is standing

between the two staff members. It may be important for both the new manager and the office assistant to become aware of each other's working styles.

- **Resources:** There should be a checklist available for the office assistant to check off assignments that are done. The department may also want a procedural manual to explain all the different task requirements and how to address each task.
- **Communication:** There could be a lapse in communication where the assistant does not understand all parts of the task that must be completed. The assistant may not understand why the job responsibilities are important and why the deadlines must be met at the appropriate time.
- **Work Motivation:** The manager may want to give a simple explanation of the reasons for the requests, goals or job tasks to explain the importance of the assignments. The assistant might have been working the same way with the previous manager and does not realize that there is a behavior problem and is unmotivated. Seeing the bigger picture could help the office assistant see the impact of his contributions in a positive manner.
- **Internal Motivation:** The office assistant could feel like he has no authority to make decisions in areas of responsibility for which he has been trained and equipped.
- **Behavior:** A bad attitude tends to spread quickly and leads to poor morale throughout the department. This type of behavior and low morale could lead the office assistant to become more apathetic and in a way encourage him to resist performing to the best of his ability.
- **Boredom:** It is possible that the office assistant is either bored or burnt out; therefore the manager may want to look at restricting their job duties or assigning more challenging tasks.
- **Individual Capacity:** The office assistant is overly qualified and is comfortable with the workload that is given, but does not want to do any additional work.
- **Supervisor:** Inexperienced supervisors may not properly document their conversations and actions or if a problem is taking place. It is possible that new supervisors may inherit performance problems that their previous employers failed to address.
- **Resentment:** The assistant may be angry about the hiring of the new Business Manager and might not want to put any effort into their work.
- **Lack of Career Growth:** The office assistant may be under the impression that there will be no career growth in the current department he is employed in. This lack of skill development and training could be another cause of unenthusiastic work performance.
- **Lack of Recognition:** The office assistant may feel that the department's culture is not one that encourages the recognition of employee contributions. A big unmet need here could be the office assistant's worth.

Although these may be some of the causes for the staff member's behavior, other avenues need to be explored by asking questions to find out the root of the problem. Some of the questions that should be asked are:

- Who is the problem?
- What is the problem?
- When did the problem occur?
- Where is the problem?
- Why is the problem occurring?

### **Cause Analysis Tools**

To further explore the root causes and problems, interviews and observations will be conducted. More than one observation tool is being used in order to improve the credibility of the responses and information collected. An interview will take place with the office assistant causing the performance problem (Table 1.1). The interview should determine the cause(s) of the performance gap. Other staff members will also be interviewed (Table 1.2) in order to get feedback regarding any issues or concerns they may have regarding the department and any potential employee-manager relationship concerns. Once the interviews have been completed, observations will take place to monitor the assistant's behavior and tardiness. To keep all actions legal, the office assistant was informed that direct observation would be conducted of his work performance at any given time/day/instance, and that further action will be taken if no improvement is visible.

#### **I. Interviews**

Face to face interviews were initially conducted with the Office Assistant and other staff members consequently, in order to start a dialogue regarding the performance issue at hand. Through the interviews, we hope to collect information regarding:

- **Facts:** Information about the interviewee, description about performance issues in the workplace, and when these performance issues are occurring.
- **Beliefs about the Facts:** Interviewee's attitude towards these problems and when they are occurring.
- **Feelings and Motives:** Description of feelings during the events and Statement about motive while performing job duties.
- **Standards of Actions:** Interviewee's perception on how to act during performance problem occurrence.
- **Present/Past Behavior:** Description of actions during current position and any past performance issues at place of employment.
- **Conscious Reasons:** Explanation of performance actions.

**Interview - Office Assistant****Table 1.1**

<b>Interview Question</b>	<b>Interviewee Response (Summary)</b>
Can you provide a short list of your job duties?	<ul style="list-style-type: none"> <li>• Provide support to Manager and Sr. Office Assistant</li> <li>• Data collection, entry, analysis</li> <li>• Assistant in production of reports for DOE</li> <li>• Filing, tracking, copying, development</li> <li>• Ability to work independently and in a team environment</li> </ul>
Do you feel that you are currently qualified to perform the job duties at hand?	<ul style="list-style-type: none"> <li>• Yes. My past experience in this field provides me with the qualifications to perform the job duties at hand</li> </ul>
Can you give an example that demonstrates your ability to organize and maintain a system of records?	<ul style="list-style-type: none"> <li>• I can easily use the database system to input rubrics.</li> <li>• I have created documents for professors that asked for those.</li> <li>• I am able to file documents into correct areas.</li> </ul>
Do you feel self-motivated to take initiative for your job tasks?	<ul style="list-style-type: none"> <li>• I like having direction so I know what needs to be done for my daily duties.</li> <li>• I like having a written checklist of what job tasks I need to complete each day.</li> </ul>
Describe a situation that best illustrates your ability to work collaboratively with a diverse group of people.	<ul style="list-style-type: none"> <li>• I can easily work alongside with the professors to input the scores for the rubrics.</li> </ul>
Are you aware of the roles of your colleagues in the department?	<ul style="list-style-type: none"> <li>• Yes. Everyone's roles are clear.</li> </ul>
Are you aware of the recent instances where your work performance has come under scrutiny?	<ul style="list-style-type: none"> <li>• Yes. It has been brought to my attention by the other employees in the department</li> </ul>
Can you State your current performance issues?	<ul style="list-style-type: none"> <li>• Incomplete assignments</li> <li>• Absenteeism</li> <li>• Time management</li> </ul>
Do you have issues with other employees or upper management?	<ul style="list-style-type: none"> <li>• I think at times the new manager is too concerned with the initial process of our projects and end result, and not too much with the actual process.</li> <li>• Sometimes recognition is needed in order to have</li> </ul>

	<p>someone work with the necessary motivation required.</p> <ul style="list-style-type: none"> <li>• I don't have time to complete everything that I need to throughout the day.</li> </ul>
Do you have commitments outside of work?	<ul style="list-style-type: none"> <li>• Full time student</li> <li>• Greek life commitments</li> <li>• Other school clubs and organizations</li> <li>• Second employment</li> </ul>
Have these commitments been a hindrance to your work performance in the past?	<ul style="list-style-type: none"> <li>• There have been times when I have placed my other commitments over my job duties with the Department of Educational Initiatives at Simulation University and with other employers in the past.</li> </ul>

### Interview - Other Staff Members

**Table 1.2**

Interview Question	Interviewee Response (Summary)
Do you believe there any current performance issues within the department?	<ul style="list-style-type: none"> <li>• Yes. The Office Assistant is showing resistant behavior that is affecting the entire unit.</li> <li>• Absenteeism and incomplete tasks</li> </ul>
What type of challenges do you see if an individual does not perform, if she/he does not prepare, or complete her/his part?	<ul style="list-style-type: none"> <li>• Lack of resources</li> <li>• Lack of expectations</li> <li>• Lack of motivation</li> <li>• Lack of communication</li> <li>• Time Management</li> <li>• Change in management</li> </ul>
Can you provide instances of disruptive behavior?	<ul style="list-style-type: none"> <li>• There have been times we have seen a complete lack of respect for other staff members and upper management.</li> <li>• Assignments are turned in late, causing other staff members to stay at work beyond their scheduled work hours.</li> <li>• The office assistant does not seem to be following his own work schedule, instead choosing to come in late and leave early.</li> <li>• Using other commitments as an excuse to slack on work commitments.</li> </ul>

	<ul style="list-style-type: none"> <li>• Does not work well with other team members</li> </ul>
In what areas could management be more supportive towards the employees?	<ul style="list-style-type: none"> <li>• Employee recognition awards</li> <li>• Monthly staff luncheons</li> <li>• Clear job duties and expectations</li> <li>• Monthly or quarterly individual meetings to discuss work performance</li> </ul>

## II. Direct Observation

Following the interview session, the Office Assistant's work performance was observed in various settings. Each issue recorded in the interviews was observed by the Senior Office Assistant. The frequency and impact of any job duty not fulfilled was recorded. Although there was a slight improvement in communication with other team members, there was no change in the other performance issues. Time management and personal behavior issues had the highest frequency. This correlates with the information provided by the office assistant himself and other staff members of the department.

### Appendix A: Probe Chart

### Appendix B: Probe Question/Answers

## **Interventions**

### **Introduction**

After careful examination of the Preliminary Phase (Gaps and Cause Analyses), it was decided that we continue to the Survey Phase to select areas of interventions, selecting 10-12 potential interventions and proceed with the top six (6) interventions and priority.

### **Intervention Action Planner (Appendix C):**

The Intervention Action Planner is used to identify those areas to actually apply or implement the interventions. This method is used to capture the team's discussion and reasoning behind the decisions. After consulting with team members, it was decided that we focus on 1-6 specific areas.

### **Intervention Selection Tool (Appendix D):**

The Intervention Selection Tool is used to recognize and propose the most appropriate activities to successfully resolve performance improvement problems, opportunities or challenges. This process helps administer and clarify the selection effort so that interventions may be planned, selected and implemented carefully.

Of course there is no easy way of selecting which interventions or solutions to choose. Therefore, we have selected six (6) interventions and reasons as to why we have chosen them. These interventions will be placed in the Intervention Priority Chart in order of priority.

### **Intervention Priority Chart (Appendix E):**

The Intervention Priority Chart is a compilation of several interventions that the team has selected. From this compilation, six interventions were selected and entered into the chart next to the priority number assigned to the intervention (6 being the highest and 1 being the lowest).

### **Conclusion:**

When creating developmental change in any organization, it must be noted that teams make up an organization. Even though the performance problem can be on an individual level, the interventions chosen to curb the problem should be such that they make a difference in the entire departmental structure and culture. For change to be maximally effective, all employees should be equally aware of the organizational purpose, mission, goals, and structure; and have an understanding about their positions and work relationships.

The Department of Educational Initiatives at Simulation University is aiming to curb a performance problem brought on by a specific individual. In order to achieve a certain degree of change, the department has chosen to employ a range of interventions that are designed to change not only individuals, but also the group as a whole.

Building a strong communication network will not only opens up the lines of communication between managers and employees, but will also allow for a culture based on mutual trust and

support. Employees will always support what they help to create. Finding out what an employee is capable of performing at his best level will assist in tapping into his positive energy. Linking this energy to a common organizational goal will have a tremendous impact on the morale and overall success of the organization. At the same time, it is imperative that every employee should get the opportunity to further develop his knowledge, professionalism, and career base.

Equally important is the job of the manager to keep tabs on the growth of all employees in his/her department. Employee growth and engagement can also come directly through mentoring, feedback, and performance appraisals. When an organization invests in its employees, they in turn will invest their time and effort into the organization. Mentors can also boost development by providing feedback and encouragement. Discussing ideas and sharing information has an extremely positive impact on the entire organization. To continue building positive relationships and trust, performance appraisals can help build a rapport that can also open up lines of communication. They cannot only target specific areas of weakness, but can also serve as motivational tools to work towards improvement.

There are numerous interventions that address different problems and can create different results. However, they all have a common goal of improving the organization as a whole.



## Performance Improvement Plan

**Employee Name:** J. Doe.  
**Job Title:** Office Assistant  
**Department:** Department of Educational Initiatives  
**Supervisor Name:** J. Hancock.  
**Date:** 04/06/2015

During the past seven months it has become increasingly evident to your Business Manager that you have not been performing your assigned work in accordance with what is expected of an Office Assistant. SU values you as an employee, and it is our intent to make you fully aware of this situation and to assist you in improving your work performance. However, it is important that you realize that we must work together to improve your job performance.

It is our desire to see you do well and succeed in your current role, and that is why you are being placed on a written improvement plan. The purpose of this document is to define the areas of concern, reiterate on-going performance expectations, and provide a framework for you to demonstrate sufficient improvement in these areas in order to achieve expected performance standards.

For the next 4 months, April 7, 2015 to August 6, 2015, your work will be closely monitored. Please note that while this is a 4-month plan, you are required to demonstrate weekly progress and continued improvement. You must demonstrate immediate improvement in the following areas:

- All foreseen absences must be submitted in writing.
- Work designated by Supervisor or Faculty must be completed within a timely manner.
- Time management between employment with the Department of Educational Initiatives and Residence Life.

### Specific Examples of Below Expectations Performance

Specific Examples of Below Expectations Performance	Impact/Consequences
On Thursday, March 5 <sup>th</sup> and Friday, March 6 <sup>th</sup> you did not contact your supervisor and had two "no shows" in a row.	When you are not going to come into the office, you are to notify your supervisor if illness or other foreseen circumstances prevent your attendance at work. This notification should be made in advance of your usual reporting time. Failure to notify your supervisor may result in termination.
On Wednesday, March 18 <sup>th</sup> , you arrived to work 45 minutes late without contacting your supervisor to let them know that you would be late.	You must give us call letting us know you're going to be late, it is expected that you are punctual for every shift that you are scheduled for.
On Thursday, March 19 <sup>th</sup> , you did not meet the job tasks that were assigned to you for that week.	You are always expected to be punctual, efficient, reasonable and cooperative with regard to your job assignment. This current performance has led other staff members to stay late to finish your job task.

### Relevant Background

#### Previous Discussions / Outcomes

On January 13, 2015, there was Verbal Counseling.

## Action Plan

The Action Plan section clearly outlines performance expectations that need to be achieved. The actions associated are specific, measurable, action-oriented, realistic, and timely. This plan will be reviewed throughout the course of the PIP.

<b>Performance Expectations</b>	<b>Performance Indicators / Required Outcomes and Timeframes</b>	<b>Action</b>
<b><u>Punctuality</u></b>	J. Doe will arrive within a minimum of 5 minutes prior to the start of their shift to ensure all materials and programs are up and running once the shift is to begin.	<p>This action should be taken immediately.</p> <p>By informing others that you are going to be late, it gives others the time to adjust their timetable if a meeting has been planned. Effective communication is the key thereby improving relationships at work.</p> <p>By not informing others, you are essentially creating negative messages among your peers.</p>
<b><u>Time Management</u></b>	J. Doe will make sure that job tasks and duties assigned by the Department of Educational Initiatives will not be impaired by job duties assigned by other departments or extracurricular activities.	<p>This action should be taken immediately.</p> <p>Time Management is an essential part of any employment. Better time management leads to extra productivity hours, which leads to better control over assigned tasks. By taking control of your time, you will have the ability to focus more on each individual task at hand.</p>
<b><u>Task Completion</u></b>	J. Doe will complete all job duties and tasks assigned by the Stated deadlines.	<p>This action should be taken immediately.</p> <p>By completing each task by or before the required deadline, you not only efficiently completing your work, but are also efficiently using your time. By not completing tasks on time, those affected include all members of the department, and not just one individual.</p>

**Follow Up**

The intention of the plan is to assist J. Doe to become compliant with established guidelines of performance and meet specific objectives. In addition to meeting these objectives, you must demonstrate a commitment to your job and to the Company's values.

Effective immediately, SU is placing you on a 4 month Performance Improvement Plan (PIP). During this time you will be expected to meet or exceed the expectations outlined in this plan. Failure to meet or exceed the company's expectations, or display of gross misconduct will result in further disciplinary action, up to and including termination. Furthermore, failure to maintain performance expectations after the completion of the PIP may result in additional disciplinary action up to and including termination.

It is your responsibility to contact me at any time during this time period regarding your performance and to seek assistance in removing obstacles you may come up against which may impede your progress.

The PIP does not alter the employment-at-will relationship. Additionally, the contents of this PIP are to remain confidential. As always, we are here to help you be successful. Should you have questions or concerns regarding this plan, you will be expected to follow up directly with me.

**Employee Acknowledgement:**

I acknowledge that this topic was discussed with me and a copy will also become a part of my permanent record of employment. (Signature does not constitute agreement)

Associate's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Manager Acknowledgment:**

I acknowledge that I have discussed this topic with the employee and have outlined this plan to promote his achievement of expected performance.

Manager's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Manager's Name: \_\_\_\_\_ Manager's Title: \_\_\_\_\_

Witness Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Witness Name: \_\_\_\_\_ Witness Title: \_\_\_\_\_

cc: Personnel File  
J. Doe  
SU Human Resources

## Evaluation

**Type:** Summative

**Purpose:** Intent is to determine whether the PIP resolved or eliminated the various performance issues - communication, time management and punctuality.

**Goals:** To find the effectiveness of the PIP and chosen interventions.

**Objectives:** We will measure whether or not the performance issue/gap was solved through the decided interventions stated in the analysis.

**Scope:** It was determined that our interventions were to include *Employee Development, Mentoring, Feedback, Performance Appraisal, Appreciative Inquiry* and broadening the *Communication Network*. These interventions transcended into vital areas of adjustment. It was important that we include the entire staff in the positive progression of the Office Assistant. More so, it was important that the employee in question understand that there was an established “open door” policy for communication between management and staff. A Performance Improvement Plan (PIP), outlining performance expectations and course of action, was developed and presented by the Business Manager to the employee. At first, the employee was defensive and declared the feeling of being singled out by management. During the PIP there was no skill change. For a short period of time after the initial presentation of the PIP, the employee seemed to have a positive attitude towards the outlined expectations, including the emphasis on being a team player and tasks being completed on time. Though the initial attitude was positive, the employee’s performance and professionalism rapidly declined.

**Methods:** We asked for the Office Assistant to provide us with a self-evaluation. It was our hope that the Office Assistant would candidly provide their perspective on their experience through the performance plan. The employee’s reflection was aloof yet defensive. We also conducted a series of “Two-on-One” evaluations. This allowed a joint collaboration with the Business Manager and the employee. It was apparent the tension between them. Finally, to maintain the purity of the evaluation, we conducted a series of “One-on-One” evaluations with not only the Business Manager and Office Assistant, but also the other staff. This enabled us to see if there was an overall improvement in the collaboration efforts.

**Findings:** Initially, we noticed that the employee was rather positive in their behavior and willing to meet the desired performance standards. As the employee further entered their probationary period (approximately 1 month), there was a decrease in performance. Mid-probationary period (approximately 2 months), the employee went on a previously planned vacation for three weeks. Upon return to the office, the employee’s performance level remained stagnate, neither increasing nor decreasing. Towards the end of the probationary period (approximately 3 weeks), the Office Assistant’s performance levels significantly decreased. This decrease led to the employee’s termination. It is our recommendation that in the future, should another employee fall within low performance levels and thus requiring a probationary period and/or performance intervention, that management establish a series of “checkpoints”, possibly every 1-2 weeks, to evaluate the employee one-on-one.

## Performance Analysis Flowchart

There was a change in management within a departmental office at a local university. While the change with was welcomed with positivity and excitement by members of the faculty and office staff, there is one office staff member whom exhibits resistant behavior. This behavior includes disrespectful attitude towards new manager, late reports for work, consistent absenteeism, and assignments disregarded and/or completed with poor intentions.

### I. Describe the problem

#### 1. What is the performance discrepancy?

- a) *Whose performance is at issue?* Office Assistant
- b) *Why is there said to be a problem?* Behavior minimizes office effectiveness and creates hostile work environment.
- c) *What is the actual performance at issue?* Behavior includes disrespectful attitude to new manager, late reports for work, consistent absenteeism, and assignments disregarded and/or completed with poor intentions.
- d) *What is desired performance?* It is expected that the Office Assistant develops efficacy and ability to collaboratively work with other office staff members and manager. It is also anticipated that Office Assistant develop respect for management

#### 2. Is it worth pursuing?

- a) *What would happen if let alone?* Morale in office will minimize/deplete and could result in termination.
- b) *Are our expectations reasonable?* Yes
- c) *What are the consequences caused by discrepancy?* It depletes morale and puts manager's management skills in question.
- d) *Is that cost enough to justify what is going on?* Yes

### II. Explore Fast Fixes

#### 3. Can we apply fast fixes

- a) *Do those concerned know what is expected of them?* Yes. It is outlined in new hire contract. Expectations are also outlined in office handbook.
- b) *Can those concerned describe desired performance?* Expected accomplishments? Per conversation between manager and assistant, there seems to be gap between desired performance and employee understanding.
- c) *Are there obvious obstacles to performance?* Yes. Respect for management/personality differences seems to be a trigger for poor performance.
- d) *Do these people get feedback on how they are doing?* Yes. However, to minimize tension between employee and manager, manager strives to point out positive contributions rather than discuss negative issues.

### **III. Check Consequences**

#### **4. Is desired performance punishing?**

- a) *What are the consequences of performing as desired?* Lack of appropriate performance will result in hours being cut to possible termination.
- b) *Is it actually punishing or perceived as punishing?* Office Assistant does not look at this as professional punishment; rather it is a personal punishment.

#### **5. Is undesired performance rewarding?**

- a) *What rewards, prestige, status, or comfort support the present way of doing things?* There is no outlined reward system.
- b) *Does misbehaving get more attention than doing it right?* Given that the misbehavior is prominent it has gotten more attention. There are no signs of good performance on record.

#### **6. Are there any consequences at all?**

- a) *Does desired performance lead to consequences that the performer sees as favorable?* No

### **IV. Enhance Competence**

#### **7. Is it a skill deficiency?**

- a) *Could they do it if their lives depended on it, i.e. could they do it if they really had to?* Yes. Skills are considered to be “entry level”/basic clerical work.
- b) *Could they once perform the task but have forgotten how?* There is no sign of forgetting how to do the task. Tasks are considered regular occurrences outlined in their job description.
- c) *Is the skill used often?* Interpersonal and clerical skills are often used in Office Assistant’s everyday life in and out of the office.

### **V. Remove Other Obstacles**

#### **8. Can the Task be simplified?**

- a) *Particularly for “hurry up” demands, can I reduce the standards by which performance is judged?* No
- b) *Can I provide some sort of performance aid?* Yes. A checklist has been developed to assure task completion.
- c) *Can I redesign workplace or provide other physical help?* No
- d) *Can I parcel off part of the job to someone else or arrange a job swap?* It is possible to delegate work to other office staff members, however, the intricacy of some of the tasks require the staff member to have tenure in the position.

#### **9. Does something get in the way of doing it right?**

- a) *Lack of knowledge about what is expected?* No
- b) *Conflicting demands?* No. It is expected that person focus on one task at a time.
- c) *Restrictive policies?* Manager has strongly emphasized a collaborative/open communication policy.

**10. Is it likely that this person could learn the job?**

- a) *Does this person lack the physical or mental potential to perform as desired?* No. Only thing lacking is respect for management.
- b) *Is this person over-qualified for the job?* This is an “entry level” position. It is possible that the Office Assistant has been in position for too long and needs more challenging tasks.

**VI. Develop Solutions**

**11. Which solution is best?**

- a) *Have all potential solutions been identified?* Yes. Office Assistant’s history as employee has been reviewed by Dean, Department Chair, and Business Manager to delineate all possible resolutions. Office Assistant has received written warning outlining expectations and agreement for better performance.
- b) *Does each address one of more parts of the problem(s)?* Yes. Written warning outlines all perceived performance problems in detail and how they violate New Hire Contract and Employee Handbook.
- c) *Have estimates of any intangible cost of the problem(s) been included?* Yes. There is possibility of hiring new assistant and/or increasing hours of other staff to increase efficiency of office.
- d) *What is the cost of each potential solution?* Total cost will range from \$100-\$200 in employee compensation.
- e) *Which solution(s) are most practical, feasible, and economical?* At this point remediation is most feasible and economical to avoid hiring procedures.
- f) *Which yields most value, solving the largest part of the problem(s) for least effort?* Most value would involve termination and hiring new Office Assistant. It will increase morale of the office and allow new manager to “mold” new staff to fit office environment and productivity.

## Appendix A: Probe Chart

Category	#	Questions	Yes	No
<b>Data</b>	1	Are there sufficient accessible data (or signals) to direct an experienced person to perform well?	X	
	2	Are they accurate?		X
	3	Are they free of confusion and stimulus competition that slow performance and invite errors?		X
	4	Are directions free of data glut, stripped down to the simplest form, and not buried in extraneous data?	X	
	5	Are they timely?		X
	6	Are good models of behavior available?		X
	7	Are clear and measurable performance standards communicated so that people know how well they are supposed to perform?	X	
	8	Do they accept the standards as reasonable?		X
Category	#	Questions	Yes	No
<b>Feedback</b>	1	Is work related feedback provided describing results consistent with the standards and not just behavior?	X	
	2	Is it immediate and frequent enough to help employees remember what they did?	X	
	3	Is it selective and specific, limited to few matters of importance and free of data glut and vague generalities?		X
	4	Is it educational, positive, and constructive so that people learn something from it?	X	
Category	#	Questions	Yes	No
<b>Tools</b>	1	Are necessary implements usually on hand for doing the job?	X	
	2	Are they reliable and efficient?	X	



	3	Are they safe?	X	
<b>Category</b>	<b>#</b>	<b>Questions</b>	<b>Yes</b>	<b>No</b>
<b>Information</b>	1	Are procedures efficient and designed to avoid unnecessary steps and wasted motion?	X	
	2	Are they based on sound methods rather than historical happenstance?		X
	3	Are they appropriate to the job and skill level?	X	
	4	Are they free of boring and tiresome repetition?		X
<b>Category</b>	<b>#</b>	<b>Questions</b>	<b>Yes</b>	<b>No</b>
<b>Resources</b>	1	Are adequate materials, supplies, and assistance usually available to do the job well?	X	
	2	Are they efficiently tailored to the job?	X	
	3	Do ambient conditions provide comfort and prevent unnecessary interference?	X	
<b>Category</b>	<b>#</b>	<b>Questions</b>	<b>Yes</b>	<b>No</b>
<b>Incentives</b>	1	Is the pay for the job competitive?	X	
	2	Are there significant bonuses or raises based on good performance?		X
	3	Does good performance have any relationship to career advancement?		X
	4	Are there meaningful nonmonetary incentives (recognition and so on) for good performance based on results and not behavior?	X	
	5	Are they scheduled well, neither too frequently (lose meaning) nor too infrequently (becoming useless)?	X	
	6	Is there an absence of punishment for performing well?	X	
	7	Is there an absence of hidden incentives to perform poorly?	X	
	8	Is the balance of positive and negative incentive in favor of good performance?		X

## **Appendix B: Probe Questions/Answers**

### **1. Data- Are there sufficient accessible data (or signals) to direct an experienced person to perform well?**

Yes. Manager provides clear instruction of what work needs to be completed. The instruction also includes a deadline.

### **2. Feedback- Is it educational, positive, and constructive so that people learn something from it?**

Yes. Manager provides feedback with the intention that it will be an intrinsic motivator for the staff. It is anticipated by manager that all feedback be delivered in a positive manager and be constructive. It is the manager's belief that no feedback should ever be delivered in a demeaning/condescending manner.

### **3. Tools- Are necessary implements usually on hand for doing the job?**

Yes. Manager keeps updated inventory list to assure that office procedures run smoothly. This includes any supplies needed by assistants to perform their task; including computers, internet, and workspace.

### **4. Information- Are procedures efficient and designed to avoid unnecessary steps and wasted motion?**

Yes. Manager has provided staff with handbooks and checklists to assure that all tasks are completed with vigilance.

### **5. Resources- Are adequate materials, supplies, and assistance usually available to do the job well?**

Yes. All resources are made readily available for the assistance to perform well. Open communication between manager and assistant is encouraged to assure their resource needs are met.

### **6. Incentives- Are there meaningful nonmonetary incentives (recognition and so on) for good performance based on results and not behavior?**

Yes. Manager acknowledges good work by providing staff lunches and with consideration time-off with pay.

## **Appendix C: Intervention Action Planner**

**Project Sponsor:** Simulation University Department of Educational Initiatives

### **Intervention Purposes and Objectives:**

Make sure that tasks are done; tardiness is rectified

### **Project Stakeholders (Direct and Indirect):**

- **Direct Upper Management:** Dean, Department Chair
- **Indirect:** Faculty, staff and students

### **Customer Expectations and Deliverables:**

- **Expectations:** Increased competence and ability to collaboratively work with faculty and staff. Meet job requirements
- **Deliverables:** Four (4) months

### **Possible Timetable and Anticipated Constraints:**

- **Timetable:** Four (4) months
- **Constraints:** Employee is unwilling to cooperate. Employee also had planned vacation in middle of probationary period.

### **Reviews and Approval Required:**

Face-to-face meetings with manager to discuss improvement plan. Dean and Chair have given full support to manager regarding decision-making.

### **Lessons Learned (from Successes and Failures) from previous performance reviews:**

Absenteeism and late reports have a ripple effect on the functionality of the department as a whole. Good behavior and efficiency get rewarded (i.e. day off with pay, leave early, gift cards, and lunch)

## **Appendix D: Intervention Selection Tool**

**Performance Appraisals:** Important for new and current employees

**Feedback:** Managers as well as co-workers can provide suggestions and advice.

**Mentoring:** Experienced employees can help those that are new thereby adapting to new job required. They can act as mentors as well.

**Total Quality Management (TQM):** Make sure that employees are aware of organization wide policies while supporting management in their products, services and customer quality.

**Employee Development:** Organization and employees plays pivotal roles in the employee developmental process.

**Diversity:** Various points of view and other differences are respected by both the employee and organization.

**Appreciation Inquiry (AI):** Identify the best in people.

**Communication Networks:** Communication system that allows messages to move from senders to receiver, informally as well as formally, thereby enhancing job performance and job satisfaction.

**Documentation and Standards:** Workers are informed of job expectations through documents

**360 Degree Appraisals:** See what all employees think of their employees' behavior

**Coaching:** Supervisor coaches employee if mistakes were often made to improve.

**Appendix E: Intervention Priority Chart\***

<b>Priority (6 to 1)</b>	<b>Intervention</b>	<b>Personal Description of Intervention</b>
6	Communication Network	Open door communication policy with each other.
5	Appreciative Inquiry (AI)	Figure out what an employee is good at.
4	Performance Appraisal	Important for both new/current employees leading to better performance, productivity and efficacy.
3	Feedback	Provide suggestions and advice for new/current employees.
2	Mentoring	Continuous for both new/current employees
1	Employee Development	This is important from the time an employee is hired as well as throughout his/her employment with the organization.

\*There were some areas where two or more interventions were agreed.