

CIRES ASA Process

&

Performance Management Best Practices

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Objectives for Today

- Identify general principles of effective performance management
- Understand the performance management cycle for staff and research faculty including:
 - Performance timeline
 - Planning process, on going feedback/regular check-ins, ASA's
 - Evaluation Process
 - Addressing performance concerns, Informal and Formal Disciplinary processes
 - Difficult conversations, timely performance feedback, documentation practices



Performance Management



Purpose of Performance Management

Performance management at CU Boulder is designed to strengthen relationships between supervisors and employees, encourage meaningful feedback, and support growth and development.



Why Is Performance Management Important?

Performance management can help organizations achieve excellence by:

- aligning work and resources to clearly defined goals and imperatives
- helping employees and supervisors set clear expectations of each other
- providing ongoing opportunities for direct and constructive feedback
- building relationships & driving collaboration
- reinforcing organizational values



Steps in Performance Management



Performance Planning/Goal-Setting

What is Goal Setting?

- The process of deciding what you—or someone you supervise—want to achieve within a set period.

Why Set Goals?

- Clarifies expectations and desired outcomes
- Supports meaningful objectives and ongoing feedback
- Promotes accountability for employees and the organization

How to Set Goals

- Align with CU Boulder, department, and team priorities

When to Set Goals

- At the start of the performance cycle
- When taking on new projects or assignments
- Regularly review and update as priorities shift



Check In: Coaching and Review

- Go through the employee's ASA Objectives and Planning step by step
- Create two-way communication. Ask questions of the employee and give sufficient time for response.
- Discuss where expectations are being met or exceeded and where improvement is needed.
- Provide specific examples to help the employee understand your feedback.
- Encourage the employee to share opinions and self-assessments.



Evaluating Performance

- Request that the employee completes a self-evaluation narrative.
- Review the employee's performance for the entire performance cycle, not just the last few months.
- Review any notes you have kept throughout the year regarding the employee's performance.
- Speak with departments or individuals that the employee works closely with to capture feedback on the employee's performance or use a 360/peer feedback
 - Both supervisor and EE select participants/ share which questions will be asked/ supervisor discretion but should be consistent within direct report team
 - Use any metrics gathered throughout year to help gauge performance success.



Common Types of Bias

Confirmation Bias

Giving in to a natural tendency to search for or interpret information in a way that **confirms existing thoughts or beliefs**.

Recency Effect

Placing **too much emphasis on recent behavior** rather than evaluating a team member's work over the course of the entire year.

Horns Effect

Evaluating a team member as a poor performer overall because of **one thing they don't do well**.

Halo Effect

Evaluating a team member highly in all areas because of **one thing they do really well**.

Affinity Bias

Showing preference for certain team members because you are **similar to them** in values or other personality aspects.

Central Tendency

Avoiding differentiation by assessing all team members as average.



Feedback and Coaching



Feedback and Coaching

What?

- Feedback is the process of providing information to individuals about their performance, behavior, or actions, aiming to help them understand strengths, weaknesses, and areas for improvement.
- Performance coaching, typically facilitated by a manager, supports employees in growing and maximizing their skills.

Why?

- Feedback gives people clear sense of direction. It is a way to recognize efforts and explore opportunities for growth.
- Coaching is about developing employees' self-awareness and their own ability to affect behavior change.

How?

- Informal and formal discussions
- Written through email or other communication channels

When?

- One-on-one's and connected conversations
- Before, during, and after projects



On-going successful conversations

How to Give Feedback:

- Be specific: Focus on behaviors, not personalities
- Be timely: Give feedback close to the event or behavior
- Be balanced: Highlight strengths and areas for improvement
- Encourage dialogue: Ask questions like “Tell me more” or “How would you solve this?”
- Make it actionable: Provide clear steps or suggestions for improvement

Tips:

- Schedule regular check-ins, not just annual reviews
- Listen actively and create a safe space for discussion
- Recognize achievements to reinforce positive behavior



When having difficult conversations:

- Listen to what the employee has to say and paraphrase back what you hear.
- Ask for specifics with open-ended questions. For example, "Tell me more. How did you reach that conclusion? Help me understand."
- Citing SPECIFIC examples of behavior
- Ask how the employee suggests to resolve the problem or what solutions they would like to see.
- Identify and agree on next steps you each will take at the end of the discussion and **follow this up with email.**
- Refer to FSAP (Faculty and Staff Assistance Program) if the employee remains upset throughout the discussion.
- Ask employee to engage with CIRES HR regarding training resources, including Crucial Conversations



Progressive Discipline

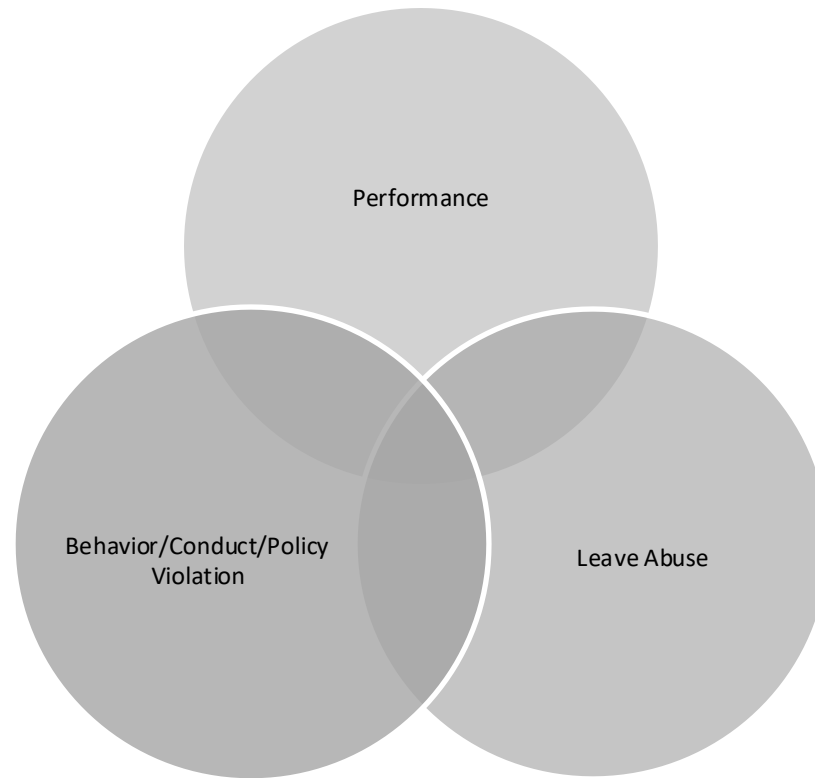


Why is it important to address performance concerns?

- Transparency, maintaining rapport, what is the behavior and why is it occurring? (Are there FMLA, ADA, training needs?)
- Balance of empathy for employee and ensuring the business needs of unit are met
- Poor behavior/performance can negatively affect *everyone* in workplace and the trust/reputation/credibility: success of the unit.
- Not doing so, prevents accomplishment of goals and mission of unit/lab



Categories of Concern/Discipline



Informal Steps For addressing Performance Issues

- Inform your up-line and CIRES HR about the problem early on
- Provide coaching – have informal meetings about poor performance and/or behavior
- Document meetings and conversations in your personal notes
- Give the employee tools to improve – Retraining, document workflow processes, increased 1:1 meetings, mentor and coach employee



CIRES Human Resources Role

- Encourage ongoing and open communication between CIRES HR & supervisors
- Provide training and resources
- Partner with all CIRES units to promote and exercise performance management practices effectively
- Ensure compliance with defined university requirements and partner with federal units when appropriate
- Assists CIRES Director with progressive discipline when appropriate

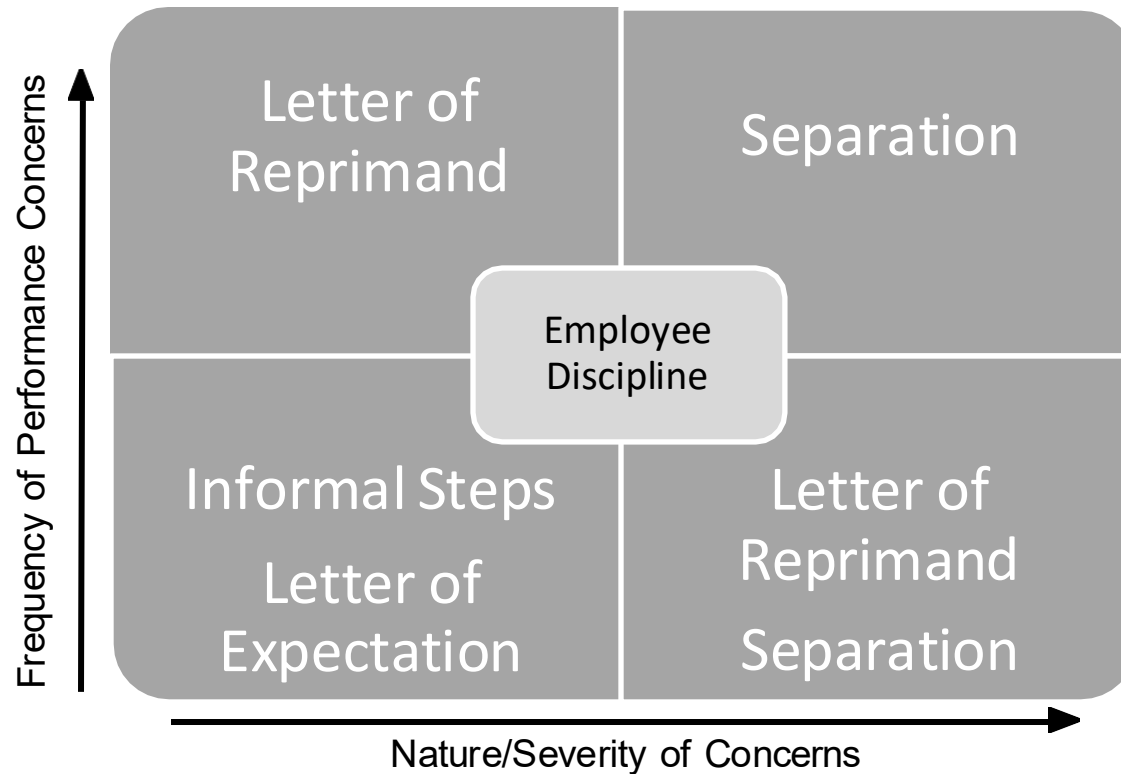


Employee Relations Role

- Neutral advisory office; obligation to report to OIEC
 - Connect employees and supervisors to all campus support resources:
 - OIEC, ADA, FMLA Office, OVA, FSAP, CAPS, BIT, OMBUDS
- Resource for supervisors and employees
 - Policy, performance, procedures and best practices
- Not an investigatory fact-finding office
 - We can help supervisors
- Partner with: CIRES HR and CIRES Director and legal counsel on disciplinary actions



Employee Discipline



Discipline: Factors for Consideration

- Nature, extent, seriousness and effect of issue
- Type and frequency of issue and how it has been addressed previously and/or documented
- Prior feedback, coaching, corrective action, etc.
- Period of time since last offense
- Individual goal, job, competency rating in prior and previous performance evaluations
- Information provided by the employee, others and/or mitigating circumstances
- Risk factors and compliance: FMLA/ADA/optics, other legal risks.



Documentation



Documentation Best Practices

1:1 Meetings

- Supervisors should be holding meetings with all direct reports on regular basis
 - Schedule the meetings on your calendar, in a mutually conducive time and private location
 - Communicate with employees if you cannot attend the 1:1 meeting- Consider the 1:1's as sacred time, do not reschedule often
 - Reschedule ASAP
- Document 1:1 meeting's
 - Agenda (who creates the agenda?)
 - High level overview of conversation
 - Bullet points of action items to be discussed for followed up on
 - If performance is suffering, have employee document meetings and send in e-mail



Resources



FMLA/FAMLI

- Family Medical Leave (FMLA) and Family and Medical Leave Insurance
- Don't penalize employee for time that they are out on medical leave
 - Do not reference medical conditions in employee's review
 - Evaluate solely on actual time worked
 - Consider interim or temp reassignment of duties if employee is out for extended periods
 - Consult with Employee Relations and the American with Disability Act (ADA) Coordinator



BIT Team

Goals

- To promote and support campus safety
- To assist individuals in mitigating sources of distress and get them back on a path towards success
- To educate the campus community about identifying concerning behaviors and the role of BIT
- To foster a culture of reporting
- To provide early intervention for individuals in crisis
- To serve as a centralized resource for collecting and evaluating information
- To balance individual privacy and civil rights with community safety



Threat Assessment: Report it!!

- If you are aware of an individual who is a threat to self or threat to others, report it!
- Resources:
 - Red Folder: <https://www.colorado.edu/redfolder/>
 - Don't Ignore It: <https://www.colorado.edu/dontignoreit/>
 - **Safe2Tell** :Concerns may be anonymously reported to [Safe2Tell](#) or at 1-877-542-7233
 - CUPD or 911

- Bring it to these teams early and start a discussion!
 - For faculty and staff - Behavioral Intervention Team (**BIT**)
 - <https://www.colorado.edu/hr/behavioral-intervention-team-threat-assessment>

 - For students - Student of Concern Team (**SOCT**)
 - <https://www.colorado.edu/studentaffairs/students-concern/students-concern-team>



Resources

- **BIT is not an emergency service.** If you are experiencing an immediate safety concern or direct physical threat, please call 911. If you need an urgent mental health response, please dial 988. Please contact the University of Colorado Boulder Police Department non-emergency line at 303-492-6666 for other assistance.
- **REAL HELP HOTLINE** gives you access to professional counselors who can offer assistance finding local resources or provide immediate crisis counseling. It is a free and confidential service and it is available 24/7. This service is available to all employees. If you need help, reach out. Call 833-533-CHAT (2428).
- **24/7 SPAN-Safehouse Progressive Alliance for Non-violence** hotline and shelter: 303-444-2424.
 - (For Domestic Violence)
- **Reporting a Campus Threat:** <https://www.colorado.edu/dontignoreit/what-report/concerns-about-someone>.



Other Resources

- [Basic Needs Center](#): The Basic Needs Center is your campus care collective, connecting you to essential resources when you need them most. As a virtual and physical hub of services, we collaborate with on-campus and community partners to get you the care you need. We provide education on navigating local and national resources in addition to helping support you in emergency situations. 303-735-9938
- [*Don't Ignore It](#) : For seeking confidential support, reporting concerns, referring someone for help, and learning skills for helping others
- [Faculty and Staff Assistance Program](#): Dedicated to serving the emotional and psychological needs of the campus community 303-492-3020
- [Office of Institutional Equity and Compliance](#): OIEC implements and enforces [four university policies](#) to ensure nondiscrimination for students, staff, faculty, volunteers, affiliates, and visitors: Discrimination and Harassment; Sexual Misconduct, Intimate Partner Violence and Stalking; Conflict of Interest in Cases of Amorous Relationships and Lactation Space.(303-492-2127)
- [Office of Victim Assistance](#): Provide free and confidential support, consultation, advocacy and short-term trauma counseling to all CU Boulder students, graduate students, staff and faculty who have experienced or witnessed a traumatic, disturbing or life-disrupting event. Offers support for those who are helping a friend, partner, family member or colleague through a traumatic experience. (24/7 phone support, 303-492-8855)
- [Ombuds Office](#): Assist all CU Boulder students, staff, and faculty with any university-related dispute or concern. Confidential, independent, impartial and informal, listen to concerns without judgement. Visitors to Ombuds office choose their own path of resolution. 303-492-5077
- [Raimy Clinic](#): Graduate student therapists provide therapeutic services and are supervised by licensed psychologists and other experienced mental health professionals. 303-492-5177
- [Safe2Tell](#) :Concerns may be anonymously reported to [Safe2Tell](#) or at 1-877-542-7233, which gets routed to police dispatch where the concern is located.



Questions?

Please Contact CIRES HR or Employee Relations



Would you please help CIRES HR?

Please complete this 2-minute survey. Your feedback is always valuable!

https://cuboulder.qualtrics.com/jfe/form/SV_4UPPyT2dNwmuqoK

