

Performance Management or Herding Cats?



<http://likesuccess.com/topics/16282/herding-cats>

Strategies to support faculty success

2017 Academic Chairpersons Conference

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for



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HUMAN



How long have you been chair?

How long is your term as chair?

*Did you come from the faculty or from outside
the department?*

*Do you have the responsibility for faculty
performance?*

*Do you have the authority to provide
performance incentives?*

Have you been provided clear expectations from your dean as to your responsibilities in performance management of departmental faculty?

Do you have the support of your dean in managing difficult faculty?

Goal = Success



Challenges?

- *What are the typical performance issues that occur in your department?*
- *What are the barriers you encounter when holding faculty accountable?*
- *What is the hardest part of managing faculty performance for you as chair?*



Herding Cats?



- “As a dean, I think that trying to control faculty is like trying to herd cats.” (1989)
- “Leading a faculty is like herding cats” (1990 article)

http://www.barrypopik.com/index.php/new_york_city/entry/working_with_academics_is_like_herding_cats_education_adage

“Herding cats” is defined as a very difficult or impossible management task.



<http://www.dawn-productions.com/videos/cowboys-herding-cats/>



<http://www.nten.org/article/cat-herding-101/>

What can “managing” cats truly teach us about Performance Management?



What is the secret to “herding cats”?



What about faculty?



<http://www.abbeyoffices.com/locations/meeting-rooms/surrey-redhill-rh1/>

Understand the “animal”



<http://pixdaus.com/the-first-experience-of-walking-on-the-fence-photo-by-ymbra/items/view/290076/>

Managing life forms who are:

“Smart”

“Creative”

“Innovative”

“Curious”



<https://meowbox.com/blog/2015/3/15-simple-tips-to-a-great-cat-instagram-account>



<http://www.life-with-siamese-cats.com/great-cat-names.html>

Managing life forms who are:

“Independent”

“Skeptical”

“Question Authority”

“Stubborn”



<http://www.happycatshaven.org/>



<https://kwanzaablog.wordpress.com/2014/01/01/where-the-kitty-cat-came-from-kuumba-by-rion-amilcar-scott/>



<http://www.wisegeek.com/what-is-adjunct-faculty.htm>

Faculty?



<https://www.law.georgetown.edu/faculty/>



<http://theconversation.com/>



<http://ucrf.org/about-2>



● <https://apps.carleton.edu/academics/support/>



<https://apps.carleton.edu/academics/support/>



<https://magazines.uthscsa.edu/mission/school-of-nursing-faculty-and-students-collaborate-with-nurses-from-mexico/>



Performance management is...

- **a process of:**
 - setting clear and specific performance expectations
 - providing periodic informal and formal feedback about performance relative to stated expectations and goals
 - holding individuals accountable
- **both formative and evaluative**
- **continuous**
- **outcomes based**
- **challenging!**

○ (Adapted from SHRM)

Benefits to performance management:

- Faculty know where they stand
- Chairs gain insights into the motivations of individuals
- Institution retains productive faculty
- Contributes to overall team success
- Contributes to their success – promotion, salary increases, etc

Setting expectations



www.timoelliott.com

"What do you mean you don't know what I've been up to recently?! Just follow me on Twitter!"

Providing regular feedback



Holding individuals accountable



Common pitfalls



- Being uncertain on your role (what can I do?)
- Providing unclear, vague, or ambiguous performance expectations or feedback
- Avoiding, minimizing, justifying, or ignoring a problem
- Letting a pattern develop
- Not understanding the issue/problem (root cause)
- Piling on issues from the past
- Making it personal (making it about the person, not the performance)



Disclaimer

“The story, all names, characters, and incidents portrayed in this production are fictitious. No identification with actual persons (living or deceased), places, buildings, and products is intended or should be inferred.”



<https://www.pinterest.com/tinkerbeetle/victorias-cute-cat-pics/>

Scenario 1



- Dr. Alex Summers, tenured associate professor

<http://yourblackworld.net/2016/02/25/black-male-teachers-only-represent-2-of-american-public-schools-teaching-staff/>

Scenario 1: Assessment

- *What are the performance concerns you identify?*

Requires more support for teaching

Limited willingness to teach

Becoming isolated/ not collaborative

Not providing institutional service

Scenario 1: Assessment

- *Is this faculty member meeting your performance expectations? Why or why not?*
- *Are your expectations clear to them? To you? How do you know?*

Scenario 1: Assessment

- *How can you provide this faculty member clear performance expectations?*
 - Expectations should be crystal clear:
 - Measureable, specific!
 - What activities?
 - What products?
 - How much is enough? Not enough?
 - Document in writing, but discuss face to face

University Resources

- Home >
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- Academic Programs >
- Administrator Resources >
- Faculty and Staff Resources >
- Site Index >



Office of the Senior Vice President and Provost



NEWS AND ANNOUNCEMENTS



Iowa State leads effort to build cybersecurity, literacy

Jan 10, 2017

Iowa State University is working with the Iowa National Guard and the state's Office of the Chief Information Officer to establish the country's first statewide program dedicated to cybersecurity and literacy.



Academic Affairs Blog: A reminder on academic integrity

Jan 10, 2017

The beginning of a new semester is always a good time to remind ourselves of the importance of academic integrity, and the safeguards in place to detect and prevent student plagiarism.



Focusing on graduation and retention rates

Dec 15, 2016

An important metric for any institution of higher education is the timely graduation of its students. This post profiles a few of the initiatives that are helping Iowa State make steady progress in both 4- and 6-year graduation rates.

QUICK LINKS

- > Faculty Handbook
- > Promotion and Tenure
- > University Awards
- > ISU ADVANCE

Governance Documents

IOWA STATE UNIVERSITY FACULTY HANDBOOK

August 2016

FH Chapter 1. The Faculty Handbook	1
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Position Responsibility Statement

3.4 Position Responsibility Statement

It is the policy of Iowa State University that evaluations of tenure-eligible/tenured faculty are based on the position responsibilities of faculty members and other activities that relate to faculty appointments. The results of all reviews must be shared with the individual faculty members.

3.4.1 General Description

A position responsibility statement (PRS) is a tool that describes the range of responsibilities undertaken by a faculty member. The PRS is written and approved by both the faculty member and the department chair. Because responsibilities and duties change throughout faculty careers, the PRS shall be reviewed and updated as necessary at intervals appropriate to the stages of faculty career development. Thus the PRS allows for a flexible and individualized system of faculty review. The PRS shall not prevent or constrain justifiable changes to or developments within any area of a faculty member's position responsibilities. The PRS description itself should be general and include only the significant responsibilities of the faculty member that are important in evaluating faculty accomplishments especially in the promotion and tenure process for tenure-eligible/tenured faculty or for advancement for non-tenure-eligible faculty.

The PRS shall not violate the faculty member's academic freedom. If the parties agree to more specific language beyond a general description of areas of position responsibilities, that specific language shall not be understood to be a checklist or constraint on the faculty member's freedom to choose areas and methods of inquiry appropriate to the discipline.

Because it outlines the expectations for faculty members in carrying out their duties in accordance with Iowa State University's public land-grant university mission, the PRS shall be understood to be a public document.

Importance of documentation

- Written narrative supporting your decisions
- Keep it factual – Don't write a "story"
- Shows you treated an employee fairly, consistent with policy, and gave opportunity to improve or rehabilitate
- Proves you put an employee on notice of expectations, performance, or behavior (e.g., tenure, post-tenure review)
- Helps establish the timeline
- Is best evidence of conversations and actions



Scenario2



- Dr. Silvia Machado, tenured professor

<http://www.nature.com/news/women-in-science-women-s-work-1.12547>

Scenario 2: Assessment

- *What are the performance concerns you identify?*

Scholarly trajectory downward

Branded as rude, mean, condescending

Intimidating to others

Aggressive use of language

Alienating others

Scenario 2: Assessment

- *Is this faculty member meeting your performance expectations? Why or why not?*

Is “bad behavior” a performance issue?

The *Silence Kills* Study

The study identified seven common and devastating crucial conversations—and their costs.

- Up to 92 percent of healthcare workers regularly experience these problems.
- Less than 16 percent of healthcare workers are able to talk about these problems effectively.



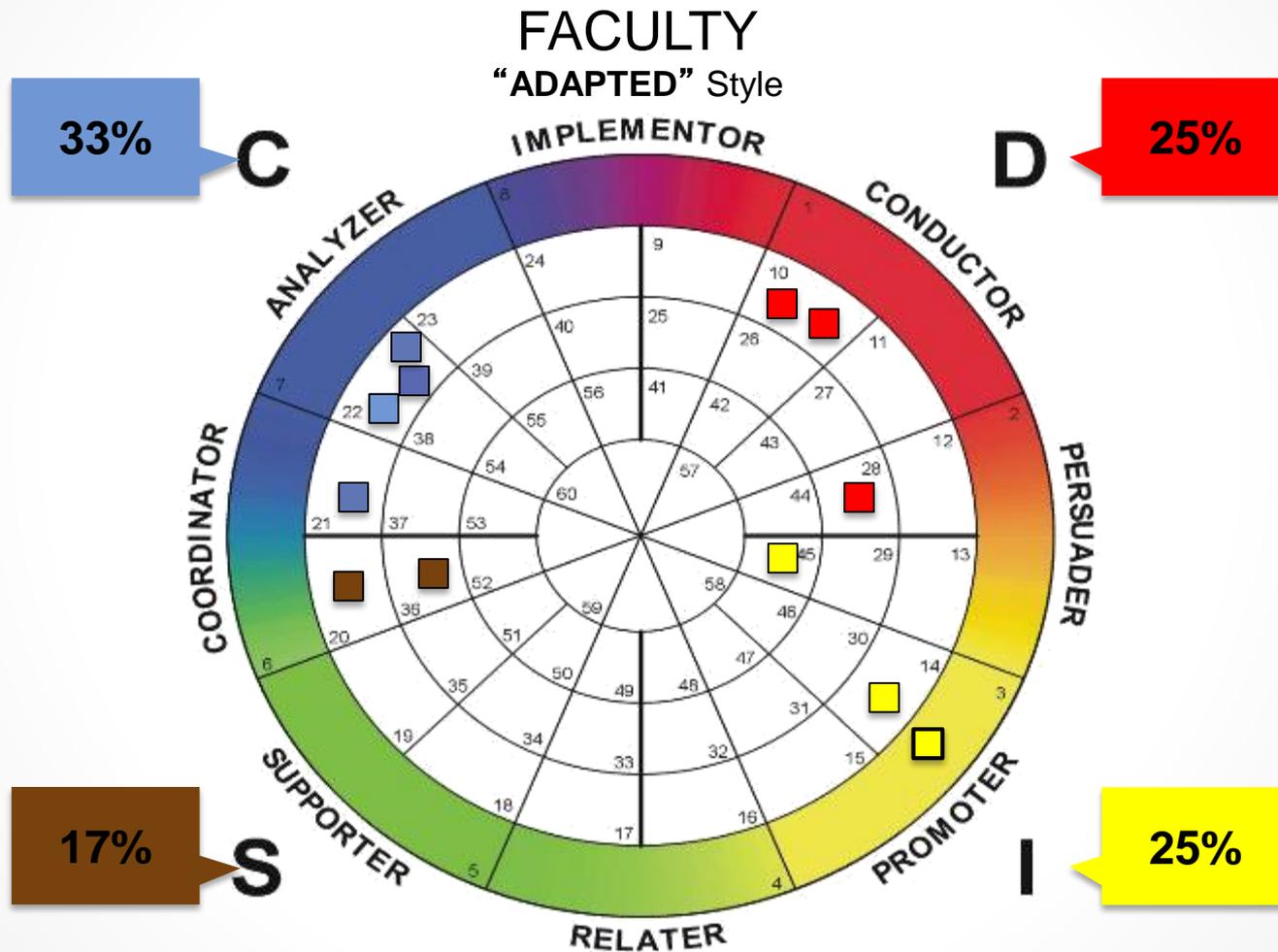
Scenario 2: Assessment

- *Is this faculty member meeting your performance expectations? Why or why not?*

Not Collegial

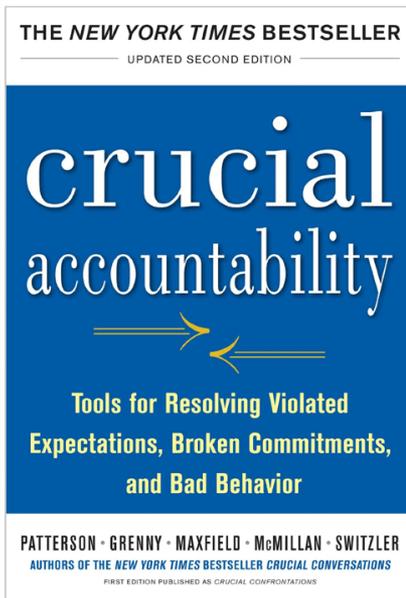
Why?

Different ways of communicating



☰ Crucial Accountability: Tools for Resolving Violated Expectations, Bro...

The six-source model helps us expand our view of why people do what they do. By looking at all six sources, we can expand our traditional thoughts about why people do the things they do (“They enjoy causing problems!”) to include each person’s ability along with the social and environmental factors behind all behavior.



	MOTIVATION	ABILITY
PERSONAL	1 Want To	2 Can Do
SOCIAL	3 Peer Pressure	4 Help from Others
STRUCTURAL	5 Carrots & Sticks	6 Structures, Environments, & Tools

To help dive deeper into each of the six sources, we are providing the following list of exploratory questions. These diagnostic questions in turn help each of us answer the questions “Why the gap?” “Why did the other person let me down?”

	Important or Very Important		
Being competent in my skills	99%	Intrinsic	
Feeling pride in my work	97%	Intrinsic	
Being able to practice at the highest standards of care	94%	Intrinsic	Extrinsic
Working with others that I respect	93%	Intrinsic	
Opportunities to challenge and improve my clinical skills	91%	Intrinsic	
A safe work environment	91%	Intrinsic	Extrinsic
An appropriate amount of work	90%	Extrinsic	
Adequate staffing	89%	Extrinsic	
How the boss treats me	87%	Extrinsic	
A boss who cares about me as a person	86%	Extrinsic	
Being challenged by new things	85%	Intrinsic	
Health care benefits	75%	Extrinsic	
Being able to make my own medical decisions	73%	Intrinsic	Extrinsic
Retirement benefits	72%	Extrinsic	
Salary	53%	Extrinsic	
Time off for child care	46%	Extrinsic	
Being able to make my own client financial decisions	42%	Intrinsic	Extrinsic
Financial support for continuing education	35%	Extrinsic	
Amount of vacation time	26%	Extrinsic	
Flexible work hours	26%	Extrinsic	
Not working 'overtime'	13%	Extrinsic	
Having my weekends free	10%	Extrinsic	
Having a job that is meaningful	10%	Extrinsic	

“Healthy” vs. “Not Healthy”

Culture

- ✓ Group cohesion
- ✓ Clear understanding of mission and purpose
- ✓ Consensus achievement
- ✓ Accepting of diverse views
- ✓ Inclusive of diverse perspectives

Personnel

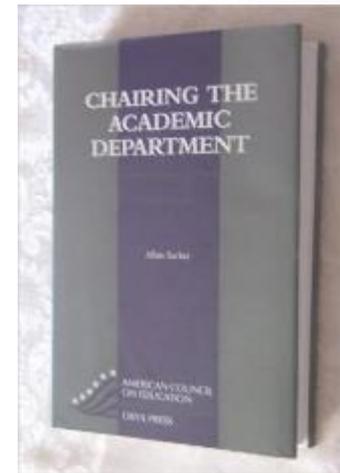
- ✓ Adequate numbers
- ✓ Appropriate distribution of work
- ✓ Motivated personnel
- ✓ Personnel performance ability

Strategic direction

- ✓ Clear goals
- ✓ Achievable goals
- ✓ Reaffirmation of goals

Budget

- ✓ Appropriate operational funds (current expense)
- ✓ Facilities
- ✓ Equipment



Department Culture: Chair's Responsibilities

- Chair's behavior sets tone and reinforces culture
 - If you ignore a complaint or obvious misconduct, sends message that you do not take the matter seriously
 - If you engage in inappropriate behavior, sends message that it is acceptable
- When addressing bad behavior:
 - Separate motive from outcome
 - Focus on the behavior not the motivation



Collegiality, or Professional Responsibilities?

“As administrators and colleagues, faculty members have obligations that derive from common membership in the community of scholars. Faculty members do not exploit, harass, or improperly discriminate against colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas, faculty members show due respect for the opinions of others. They acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Faculty members accept their share of faculty responsibilities for the governance of their institution.”

ISU Faculty Handbook 7.1.2 Professional Responsibilities



7.2.2.2.2 Harassing Behavior

Criticism and actions taken in or as a result of disagreement can be misunderstood and can result in harassment when:

- Verbal, written or physical conduct attempts to improperly influence another's academic or personal decisions with the direct or indirect threat of negative consequences if compliance does not occur;
- Verbal, written, or physical conduct is directed against another and is reasonably regarded as either abusive, intimidating, or humiliating, and substantially impairs the academic or work environment of the person against whom it is directed; or
- Verbal, written, or physical conduct intentionally encourages others, acting singly or in a group, to harass others.

Scenario 2: Assessment

- *How can you provide this faculty member clear performance expectations?*

“Your communication style (behavior) is negatively affecting your professional impact.”

Scenario 2: Assessment

- *How can you provide this faculty member clear performance expectations?*

“Your colleagues commonly interpret your communication style as “rude”, “mean”, and “intimidating.” This significantly and negatively affects your professional reputation, influence, and impact.

Scenario 2: Assessment

- *How can you provide this faculty member clear performance expectations?*

“Unfortunately, your performance in critical areas of team-building commonly fails to form and foster effective working relationships with other team members. These failures significantly diminish the outcomes of the health care delivery process and are a major contributing factor to your lack of overall professional success.



Scenario 2: Assessment

- *How can you provide this faculty member clear performance expectations?*

“You have demonstrated a pattern of ineffective working relationships with clients and, most importantly, failure to effectively respond to administrative directives aimed at improving the client experience. This stems in large measure from the negative reception of your interpersonal communication behaviors which consistently fail to establish the necessary rapport and trust on the part of clients, hospital administrative colleagues, and others on the hospital team.

”

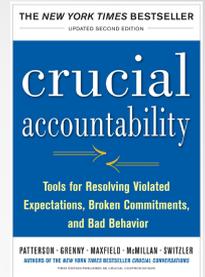
Scenario 2: Assessment

- *How can you provide this faculty member clear performance expectations?*

“Your communication style negatively affects patient care and patient safety.”

“Your communication style negatively affects student learning.”

People Management



- Do they have the motivation to change their behavior?
- Do they have the skills to change their behavior?
- Do their colleagues support their motivation?
- Do their colleagues have the same skills?
- Does the institution support their change?
- Does the institution have the mechanisms to support their change?
-

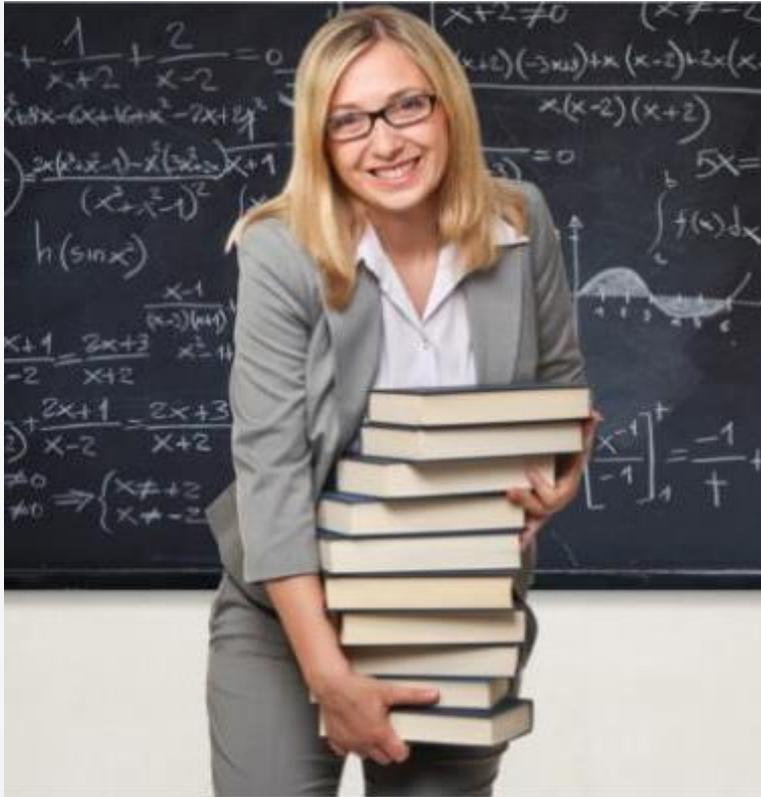
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Scenario 3



- Prof. Melissa Grant, tenure-track assistant professor

<http://alablog.org/wp-content/uploads/2014/05/professor-online-colleges-in-ohio1.jpg>

Scenario 3: Assessment

- *What are the performance concerns you identify?*

Stalled productivity

Not fulfilling departmental obligations

Branded as disorganized and disengaged

Missing class/Not grading students

Not communicating

Scenario 3: Assessment

- *Is this faculty member meeting your performance expectations? Why or why not?*
- *Are your expectations clear to them? To you? How do you know?*

Departmental absence protocol?

Scenario 3: Assessment

- *How can you provide this faculty member clear performance expectations?*

Who?

Does What?

By When?

How do we follow up?

Scenario 3: Assessment

- *How can you provide this faculty member clear performance expectations?*

“You will attend 75% of the formal departmental faculty meetings in 2017.

Attendance is taken at every faculty meeting and recorded in the minutes.”



Scenario 3: Assessment

- *How can you provide this faculty member clear performance expectations?*

“You will notify the department chair and department administrative assistant by e-mail and phone of any absence from campus that entails missing a scheduled class or work-related meeting. Notification should occur 2 weeks prior to a planned absence. In the event of an illness-related absence you should notify the department chair and department administrative assistant as soon as reasonably possible and ideally prior to the absence. Your notifications will be recorded by the department.”

Scenario 3: Assessment

- *How do you address the health issues raised?*

When health is a concern...

- Always contact HR for assistance
- Track absences
- Be receptive to requests for leave or for accommodation
- FMLA, ADA, other?
 - Interactive process
 - Do not make promises
 - Treat similarly-situated employees equally
 - Document efforts
 - Keep information confidential
- Faculty-specific policies: tenure-clock extension, modified duties

Resources: People



- Dean's Office
- Provost/VP's Office
- Human Resources
- Equal Opportunity
- Equity and Inclusion
- University Counsel
- Ombudsperson
- Employee Assistance Program Manager
- Other?

Keys to effective performance management

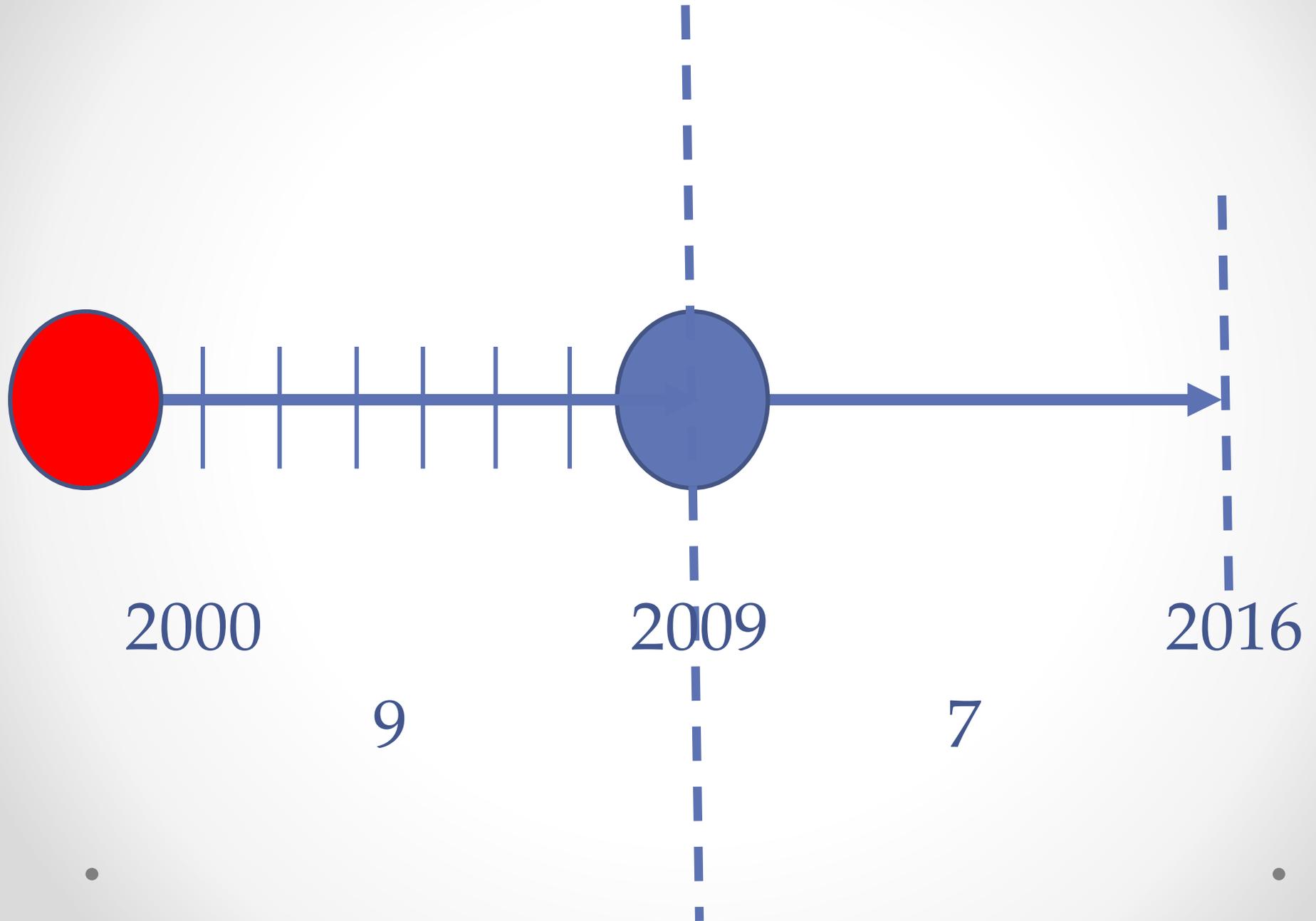
- Know institutional policies, practices, people
- Be consistent and fair with expectations
- Write specific and unambiguous reviews
- Address issues that come up immediately
- Hold people accountable
- Document communications, efforts to help
- Don't be intimidated by threats
- Maintain confidentiality
- Stay the course

It's a marathon...



<http://www.marathon2marathon.net/index.php?event=yes>

How do you “stay the course”?



Final Thoughts

- “No one ever thinks they are average”
- Respect faculty as smart, creative, innovative people
- They have to want to follow
- If you are not clear, how can they be?
- “Dig deep to find the root cause”
- “Be the willow, not the old oak tree”
- “Stay positive, move forward”
- Don’t forget to “manage up”



Resources:

Policies and Best Practices

- ISU Position Responsibility Statement Policy
- ISU Performance Evaluation Policy
- ISU Action Plan Policy and template
- ISU Performance Evaluation Checklist
- Michigan State annual performance review toolkit:
<http://www.adapp-advance.msu.edu/annual-performance-review-tenure-system-toolkit>
- *American Council on Education* (www.acenet.edu)
- *College and University Professional Association for Human Resources* (CUPA-HR)
- *Society for Human Resource Management* (SHRM)



