

# *Performance Management: Not Just the Evaluation*



*Participant Guide*

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**Colorado Department of Transportation**

## **Performance Management: Not Just the Evaluation**



### **Notes:**

This course is designed to help you provide feedback to your employees about their performance throughout the year and not just during the end of year evaluation. The process does not have to take very long. The time it takes in many cases is time you would spend managing employees.

### **Training Notes:**

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# Course Agenda

- **Learning Logistics**

- Section 1 – Performance Management
- Section 2 – Performance Planning
- Section 3 – Giving Performance Evaluations
- Section 4 – Ongoing Communication
- Section 5 – When Expectations are not Met
- Conclusion

## Training Notes:

### Notes:

This course provides an outline of the actions the TMIII needs to take throughout the performance plan year to provide ongoing feedback to their employees. It is comprised of the following sections:

- ***Learning Logistics – This section introduces you to the course, the objectives and the expectations of the participants.***
- Section 1 - Provides an introduction to Performance Management including requirements, roles, and the leadership role of the TMIII.
- Section 2 – Explains the role of the TMIII in setting expectations, in the form of a goal or goals, with their employees and what to do if you have low commitment or barriers to improvement.
- Section 3 – Outlines how to give the performance evaluation including preparing for the meeting, and what to do during the performance evaluation
- Section 4 – This section gives you the tools to provide ongoing communication with your employees, and how to resolve and discuss problems with your employees before they become issues.
- Section 5 – Describes the actions you need to take when you have employees who don't meet expectations and how to resolve it at the lowest level.
- Conclusion – This section summarizes the course and explains where you can get help.



## Course Learning Objectives

*At the end of this course, you should be able to:*

- Describe what Performance Management is and your role in the process
- Create performance goals for employees and set expectations
- Describe the importance of ongoing communication throughout the performance plan year and how to prepare and conduct the meetings
- Identify when there are performance issues with employees and how to take action at the lowest possible level
- Give performance evaluations and provide feedback to the employee
- Describe when to use an Individual Development Plan or a Performance Improvement Plan (PIP)

### Training Notes:

#### Notes:

The list on the slide above are the high level learning objectives for this course. Upon completing this course you should be familiar with the course and be able to perform all of the listed actions. This slide repeats at the end of the course and will be able to ask questions about anything you do not understand.

# Participant Introductions

Please take a moment to share:

- Your name
- Your role within CDOT
- Your expectations of this course



## Training Notes:

### Notes:

Please take a moment to introduce yourself to the other participants in the course and the instructor. When you introduce yourself, include your name, role within CDOT and any expectations you may have of the course.

## Learning Logistics

- A break is not typically provided for a two hour class
- Classroom participation is encouraged; ask, answer, and participate in the discussion
- Please actively participate in course exercises as they provide you an opportunity to practice
- The Parking lot is used to capture questions for in-class follow-up

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### Notes:

This course is two hours long and there will not be a break. Feel free to use the restroom if needed. When you are in the classroom, please feel free to ask questions to the instructor and refrain from side conversations.

The exercises in this course exist to provide you with a chance to practice the content of the course. Please participate. If there is a question the instructor is not able to answer they will add it to the parking lot. They will provide an answer to you within three working days.

### Training Notes:

## Your Contributions to Learning

- Please respect the other participants by silencing your cell phones
- Focus on the course, please use the Internet and email over lunch and break times
- Please delay your side conversations until break times
- Attend the entire course to obtain credit for successful course completion

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### Training Notes:

#### Notes:

Take a moment to turn off, or silence your cell phones. It is your time to learn. Please refrain from browsing the Internet, sending/reading text messages, or sending/reading e-mails during class. Participate in the course and listen, and refrain from having side conversations. Be sure to attend the entire class to get credit for the course; *if more than 15 minutes are missed you will not get credit for attending the class*



# Performance Management

*Performance Management: Not Just the Evaluation*



# Course Agenda

- *Learning Logistics*
- **Section 1 – Performance Management**
- Section 2 – Performance Planning
- Section 3 – Giving Performance Evaluations
- Section 4 – Ongoing Communication
- Section 5 – When Expectations are not Met
- Conclusion

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## Training Notes:

### Notes:

This course provides an outline of the actions the TMIII needs to take throughout the Performance Plan year to provide ongoing feedback to their employees. It is comprised of the following sections:

- Learning Logistics – This section introduces you to the course, the objectives and the expectations of the participants
- **Section 1 - Provides an introduction to Performance Management including requirements, roles, and the leadership role of the TMIII**
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- Section 3 – Outlines how to give the Performance Evaluation including preparing for the meeting, what to do during the performance evaluation
- Section 4 – This section gives you the tools to provide ongoing communication with your employees, resolving issues and discussing problems with your employees before they become issues
- Section 5 – Describes the actions you need to take when you have employees who don't meet expectations and how to resolve it at the lowest level
- Conclusion – This section summarizes the course and provides explains where you can get help

## Section 1 Learning Objectives

At the end of this section, you should be able to:

- Describe what Performance Management is and how it is conducted at CDOT
- Identify the Performance Management program requirements (State and CDOT)
- Recognize the difference between Performance Management/Performance Evaluation and Employee Improvement/Employee Development
- Identify the roles in the Performance Management process (Employee, TMIII, Second Level Manager, Human Resources and Superintendent)
- Describe the leadership role of the TMIII

### Training Notes:

#### Notes:

- Each of the learning objectives corresponds to a slide, or a series of slides, in this section of the course.
- By the end of this section you should be able to perform each of the listed objectives with the support of the training materials.
- The section objectives are tied directly to the course objectives reviewed at the end of the course.

## Terms and Concepts



- **Performance Management** – Is about the people at CDOT, communication, dialogue and working together to accomplish our goals and objectives
- **Performance Evaluation** – The process by which individual employee performance is assessed and evaluated
- **Employee Improvement** – The process by which the Supervisor works with the employee to correct performance and refocus on employee success
- **Employee Development** – The process by which the employee is coached to develop new skills

### Training Notes:

#### Notes:

- The following terms and concepts are critical to your understanding of this section of the course.
- If you do not understand a term, please ask the instructor for additional clarification.



# Why Performance Management?

*CDOT Leadership Forum conducted in the Fall of 2015 set forth the expectation to use the Performance Management process as a tool to be a leader.*

*Leadership is:*

- Caring about people and being a useful resource for them
- Being present for people and being your best and most authentic self
- Creating a place in which people can do good work and find meaning in that work

*CDOT Leadership Forum 2015*

## Training Notes:

Notes:

**Tab 01 – 3 Peaks Poster**

**Tab 02 – The Iceberg of Ignorance**

As outlined in CDOT's plan, Performance Management is a tool that helps you, in your leadership role as a TMIII, to:

- Plan and align expectations between the supervisor and employee
- Identify resource needs to implement program objectives
- Provide constructive feedback for improving performance and recognizing good performance
- Documenting performance in a clear, consistent, and meaningful manner

# What is Performance Management



Performance Management is:

- Ongoing communication between you and the Employee
- How employees become engaged in their work
- Working with employees to improve their abilities
- Documenting expectations
- Focused on what is important to you and the Employee

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## Training Notes:

### Notes:

Performance Management is a process of communication throughout the year about the development and performance of an employee. In many cases you might be doing Performance Management without even realizing this is what you are doing. For example, when you meet with an employee to communicate the mission, vision and values of the organization this is communicating the expectations of the organization. This is part of the ongoing communication with the employee. Additionally, talking to an employee about training they need to take to advance is also Performance Management.

All of these parts involve Performance Management, NOT JUST THE EVALUATION.

Performance Management occurs when you set expectations and goals with the employee. A critical component is to document relevant information of both desirable and non-desirable behavior so that it is not forgotten during reviews.

# Performance Management Focus



## ***Focused on:***

- Planning
- Dialogue
- Present and Future
- Resolving issues
- Cooperative

## ***Not on:***

- Evaluation
- Monologue
- Past
- Blaming
- Negative

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## Training Notes:

### Notes:

The focus of Performance Management needs to be on process throughout the year.

- Planning ≠ Evaluation – Performance Management is the process with actions taken throughout the performance plan year. The evaluation should not be the conclusion of the process, but instead one of the steps in the process.
- Dialogue ≠ Monologue – When you communicate to the employee it needs to be dialogue with the employee – bi-directional communication which is the goal of CDOT’s program. This allows you to gather information about what is important to the employee and how you are able to help with their development
- Present and Future ≠ Past – Performance Management is focused on the changes in the employee. Focusing on the past does not account for improvement of the employee and takes away the planning aspects which allow for further development and/or improvement.
- Resolving Issues ≠ Blaming – Performance Management outlines a process where the employee is empowered to make changes, measure their progress towards being a better employee and OWN their development. Blaming prevents effective communication and becomes a barrier to employee improvement..
- Cooperative ≠ Negative – Making a change to behavior can be a challenge without cooperation. Working together allows the employee to discuss with you what they are struggling with that allows you to connect them with the resources for success and ultimately, a positive setting for dialogue.

# Performance Management Requirements

## ***CDOT and State Performance Management Requirements:***

- Employee must have a performance plan within 30 days of hire
- Employee and Supervisor should meet regularly
- Three signatures (Employee, Supervisor and Reviewer) are required
- Final reviews due by March 31<sup>st</sup> each calendar year
- The planning meeting should include a discussion of:
  - Department goals
  - Work Unit plan
  - Employee's Position Description Questionnaire
  - Employee's goals and competency expectations
- Evaluated using a five tiered performance rating scale converted to state's three tiered

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## Training Notes:

Notes:

### **Tab 03 – CDOT Performance Management Program Implementation Plan**

The Performance Management Program has two official set of rules: CDOT and the State. State requirements are mandated for all state agencies and serve as the base requirements for all Performance Management Programs.

#### ***State requirements are:***

- An Appointing Authority can choose to delegate the authority to administer the Performance Management Program and progressive discipline program.
- Employee must have a performance plan within 30 days of date of hire.
- Employees and supervisors should meet at least three times during the performance year (plan, midyear, final review).
- The three tiered performance rating scale factors are Needs Improvement, Meets Expectations, and Exceptional.
- Three signatures are required for the final performance rating (Employee, Supervisor, Reviewer).
- All state employees must be rated on the core state competencies as follows:
  - Accountability
  - Communication
  - Interpersonal Skills
  - Customer Service
  - Job Knowledge
- The final performance ratings are due March 31 each calendar year.
- Final performance ratings are **not** to be forced into a distribution pattern (ex. 10% need improvement; 80% meets expectations; 10% exceeds expectations)

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CDOT has established some additional requirements in its program to meet the business needs of the organization: as indicated in the [CDOT Performance Management Implementation Plan](#).

***CDOT requirements are:***

- CDOT's Performance Management Process is facilitated through the [Online Performance Management Program](#)
- The Supervisor and Employee planning meeting should include a discussion of the Department goals, the work unit plan, the employee's Position Description Questionnaire, the employee's goals and competency expectations.
- Employees should have one to two performance goals for the first half and the second half of the performance cycle.
- CDOT has added Leadership (if a supervisor) and Safety to required competencies.
- Professional Development Goals listed on the plan are optional and not included in the final overall performance rating. **However, you are encouraged to use this tool for your employee's personal development.**
- Employees and Supervisors should meet regularly during the performance year outside of the required timelines.
- CDOT has implemented a five tiered performance rating scale (1, -2, 2, 2+, 3) which is converted to the State's three tiers at the end of the performance year: Needs Improvement, Meets Expectations, and Exceptional.

**Training Notes:**

# Difference Between Performance Management and Performance Evaluation

*Performance Management is about the employee and supervisor exchanging views on performance.*

Performance Management	≠	Performance Evaluation
<ul style="list-style-type: none"><li>Identifies and measures performance</li><li>Focuses on future development</li><li>Describes what you are doing to help</li></ul>		<ul style="list-style-type: none"><li>Evaluates employee performance</li><li>Focuses on the past actions of the Employee</li><li>Reacts to what was done in the past</li></ul>

## Training Notes:

### Notes:

#### **Performance Management versus Performance Evaluation**

Performance Management is the process of measuring, managing and developing employees within the organization. The focus of Performance Management is on the development of the employee over time and the contribution you make to their development. It is carried out through the creation of goals based on a conversation with the employee about how they want to improve their skills.

Performance Evaluation is the process you use to measure the success of the employee towards their performance during the performance plan year. Its focus is on the past actions of the employee. Because you are evaluating the employee on their performance this requires that you have met with the employee to identify the goals (expectations) you and the organization have of the employee.

In short, Performance Management is the journey where Evaluation is how well you traveled the path.

# Difference Between Employee Development and Employee Improvement

*Performance Management is about the employee and supervisor exchanging views on performance.*

Employee Development	≠	Employee Improvement
<ul style="list-style-type: none"><li>• Based on future development</li><li>• Focused on needed skills</li><li>• Developments new behaviors</li></ul>		<ul style="list-style-type: none"><li>• Based on past behavior</li><li>• Focused on changing past actions</li><li>• Changes undesirable behaviors</li></ul>

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## Training Notes:

Notes:

### **Employee Improvement versus Employee Development**

Employee Improvement is the process of communicating to an employee the actions that are not desirable and creating a path to success. The focus of Employee Improvement is to address poor performance which prevents them from being successful in their current position.

Employee Development is the process where an employee acquires new skills to prepare them for a new position or better allow them to perform the tasks for their current position. The focus on Employee Development is to help the employee towards the work they will be doing in the future.

In short Performance management is how we develop new skills in an employee where Employee Improvement is where bad habits can be addressed.

# Roles in Performance Management



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## Training Notes:

### Notes:

There are four roles in the Performance Management process. They are the Employee, Supervisor, 2<sup>nd</sup> Level Manager and the Appointing Authority.

#### **Employee**

The employee is responsible for working with the Supervisor and communicating what they would like to learn, suggesting goals, and participating in the meetings. Once the PMP form has been created they need to acknowledge the form and the ratings of the Supervisor. This is true of the initial planning meeting, midyear and final review and final rating.

#### **Supervisor**

The Supervisor must meet with the employee to discuss the goals and expectations. Prior to meeting with the employee, they should prepare for the meeting by gathering the necessary information (CDOT's mission and goals, discussion of the current performance year, and ideas for suggested goals. After the initial meeting, the supervisor should also provide comments on the ratings of the employees and create additional forms and documentation such as the PIP and PD as required. An example of the Supervisor in Maintenance is the TMIIs.

#### **2<sup>nd</sup> Level Manager**

The 2<sup>nd</sup> Level Manager is responsible for reviewing all of the performance ratings and reviewing the evaluations and the goals to determine they are appropriate goals for the employee. An example of the 2<sup>nd</sup> level manager in Maintenance is the LTC Ops.

#### **Appointing Authority**

The Appointing Authority is responsible for resolving any disputes that rise to the second level and they also give the supervisor's performance rating. An examples of the Appointing Authority in Maintenance is the RTD.



## Check Your Knowledge

1. \_\_\_\_\_ is based on the future development of employees.
2. The \_\_\_\_\_ is the 2<sup>nd</sup> Level Manager from the perspective of a TMIII.
3. An employee who is not meeting expectations based on a required skill set should be placed on a \_\_\_\_\_.



### Training Notes:

Notes:



# Performance Planning

*Performance Management: Not Just the Evaluation*



# Course Agenda

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## Training Notes:

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- Conclusion – This section summarizes the course and provides explains where you can get help.

## Section 2 Learning Objectives

At the end of this section, you should be able to:

- Describe the role of the supervisor in establishing performance expectations
- Create a SMART Goal
- Describe how to cascade a goal
- Communicate performance goals and strategic objectives to employees
- Identify and eliminate common barriers to improvement
  - Keeping EE engaged who are not interested in advancement
  - Keeping top performers engaged
  - Unmotivated staff
- Document employee behavior through the IDP and PIP

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### Training Notes:

#### Notes:

- Each of the learning objectives corresponds to a slide, or a series of slides, in this section of the course.
- By the end of this section you should be able to perform each of the listed objectives with the support of the training materials.
- The section objectives are tied directly to the course objectives reviewed at the end of the course.

## Terms and Concepts



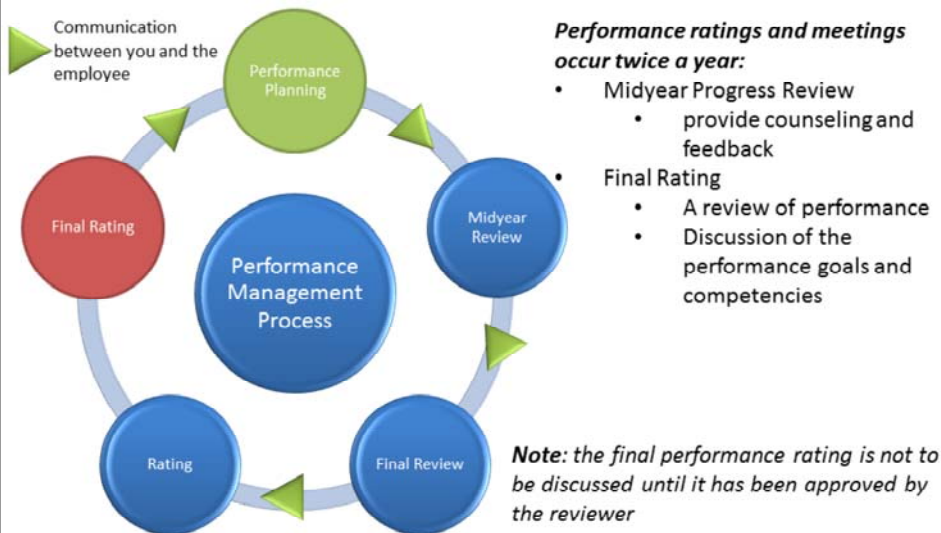
- **Performance Expectations** – One or more short-term objectives related to the specific job related skills of an employee or to a similar skill set the employee is looking to acquire
- **Competencies** – Job related skills or abilities that are used by an employee to successfully perform the duties of their position
- **S.M.A.R.T Goal** – a mnemonic used to create a high quality goal. It stands for **S**pecific, **M**easurable, **A**chievable, **R**elevant and **T**ime-Bound

### Training Notes:

#### Notes:

- The following terms and concepts are critical to your understanding of this section of the course.
- If you do not understand a term, please ask the instructor for additional clarification.

# Performance Management Process



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## Training Notes:

### Notes:

#### **Planning**

During this stage of the Performance Management Process the supervisor is working with the employee to inform them of what is expected of them based on their job duties and responsibilities. The goal of this stage is communication about the performance standards of the employee throughout the year. This is formalized through the creation of Performance Goals that the employee will work on throughout the evaluation cycle.

During this phase the TMIII and the employee need to review the following:

- A review of CDOT's mission and goals.
- A review and discussion of the unit's work plan for the current performance year.
- A review of the employee's PDQ.
- Identification and agreement of the Individual Goals for the first six months.
- Agreement of the expected behaviors listed for each competency at the top of the form. The behavioral statements are written at a level two Employees may need clarification as to what the different levels look like.
- The supervisor and employee must log into SAP to acknowledge Performance Management Plan.

#### **Midyear Review**

During this stage the supervisor and the employee meet to review the employees progress on their performance goals from the first six months of the performance year. The performance goals for the for the six months are discussed. During the midyear review process are under discussed or reviewed:

- The supervisor and the employee discuss progress made towards achieving goals and competency areas so employees are not surprised about their final performance status.
- Plans can be adjusted to reflect new priorities of the work unit.
- Reviews establish dialog between employees and supervisors to clarify expectations and build trust.
- The employee is aware of progress and has time to adjust his or her performance to meet performance objectives.

**Final Performance Review**

The final performance review involves a mandatory pre-appraisal meeting between an employee and his or her supervisor. While the supervisor and employee should be collecting and writing performance documentation throughout the year, this is the employee's chance to provide a summary to the supervisor. The pre-appraisal meeting between the supervisor and the employee covers the employee's performance. After the meeting, the supervisor blends all the performance information with other known performance indicators to derive a recommended performance rating.

*Providing employees with a final performance rating at this pre-appraisal meeting violates CDOT's Performance Management program. Supervisors who provide final ratings at this time are subject to corrective action.*

**Rating**

The supervisor recommends to his or her reviewer (the 2nd-level manager) a final performance rating for each of his or her employees. (DPA prohibits work leaders from deriving this rating.) It is the responsibility of the supervisor to justify to the reviewer the proposed rating through the job-relevant performance information obtained from documented sources. The reviewer has a broader-based organizational perspective and knowledge of the varying performance levels of the employee reporting to the supervisors. This enables the reviewer to perform a valuable and necessary quality control function over the performance ratings across multiple units. Personnel Rule 6-4 H prohibits the review from enforcing quotas for each rating level. The Reviewer electronically signs the Performance Management Plan.

**Final Rating**

The supervisor meets with the employee to provide performance feedback on the Competency areas, goals, and the overall performance rating approved by the reviewer. The employee electronically acknowledges the final Performance Management rating. All employees must be notified of their final performance rating by April 30. This allows for sufficient time to complete the dispute resolution process initiated by employees to meet deadlines set by the Department of Personnel and Administration.

**Training Notes:**

# The Role of the Supervisor

## *The role of the supervisor is to:*

- Connect the daily tasks of their employee(s) to CDOT's mission, vision and values
- Document examples of performance (both positive and negative)
- Counsel employees on their development throughout the Performance year
- Provide meaningful and specific feedback
- Complete all performance planning meetings and documentation by the stated deadlines

## Training Notes:

### Notes:

As a supervisor, you play an important role working with employees to manage their performance. This slide provides a list of the actions you need to take when managing an employee's performance.



# Communication and Goals



The image shows a 'Performance Planning Checklist' form. It includes sections for 'Before the Meeting', 'During the Meeting', and 'Follow-up'. The 'Before the Meeting' section lists tasks like 'Send a work plan for the upcoming Performance Plan Year' and 'Provide information about CDOT'. The 'During the Meeting' section lists tasks like 'Provide the employee with the unit's work plan' and 'Explain to the employee the need to create one or two Performance goals using the SMART format'. The 'Follow-up' section lists tasks like 'Enter the goals for the employee into the system' and 'Tell any meeting notes made with the employee to record the content of the goals'.

Goals are created collaboratively:

- Complete the Performance Planning Checklist to make sure you cover everything
- Provide information about CDOT
- Communicate what the employee will be evaluated on
- Explain you will also be meeting with the employee two other times
  - Midyear progress review
  - Final review

## Training Notes:

### Notes:

#### Tab 04 – Performance Planning Checklist

There are two points throughout the year where goals are created. This is during the planning meeting and the midyear meeting. This is your chance to listen to what the employee is interested in and to understand what is important to the employee. It is also your opportunity to counsel the employee if there are areas where you want to see improvement. In other words, goals are not something done to a employee, but are a process that both you and the employee agree upon.

**Performance Planning Checklist** – The Performance Planning checklist has been created to assist you with covering all of the topics you should be covering during the meeting. This also gives you a checklist of what you need to do before, during and after the meeting.

**Provide information about CDOT** – When you meet with the employee you should provide them with a copy of CDOT's mission and goals, the unit's work plan for the current performance year and, the PDQ. These documents are provided to the employee so they understand how what they do fits into the big picture.

**What employees are evaluated on** – The employee will be evaluated on how well they have performed to their goals and each of the competencies. While it is common for most supervisors to cover the goals, you also need to explain that all State employees are also evaluated on Accountability/Credibility, Job Knowledge/Performance, Communication/Interpersonal Skills, Customer Service, Safety and Supervision (if applicable) are unique to CDOT

**Meeting with the employee** – There are three meeting with the employee to discuss performance. They are the start of the performance planning year, midyear progress review and the final review. This is the minimum number of meetings you are required to have with the employee however, you are encouraged to meet with them more.

# Creating a SMART Goal

*SMART goals are used to:*

- Develop new skills the employee needs for their:
  - Current position
  - Future growth into another position
- Focus an employee on performance needed by:
  - CDOT
  - The employee



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## Training Notes:

### Notes:

S.M.A.R.T goals is a commonly used acronym which is used for the creation of a goal. It stands for goals that are:

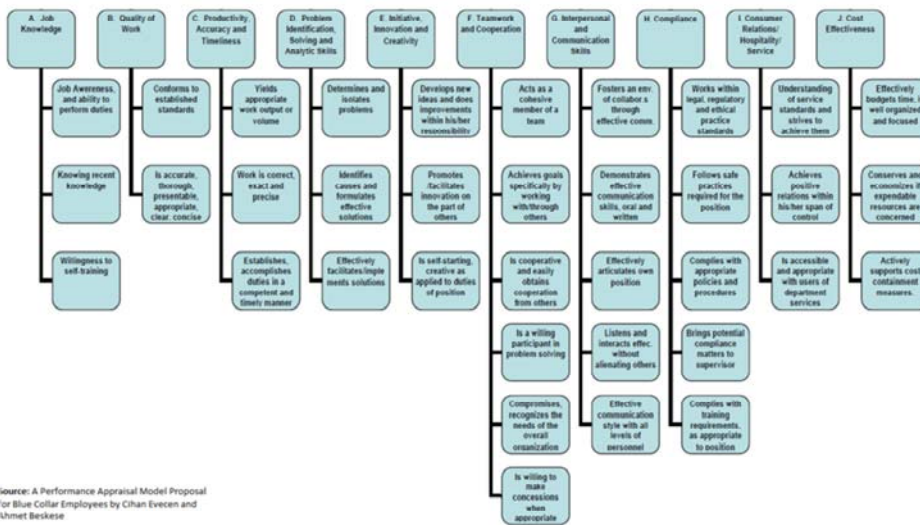
- Specific
- Measurable
- Achievable
- Relevant
- Time bound

Performance goals are best used when an employee needs to develop a skill in their current position. This can be because the skills have changed, such as a new machine, or because the employee wants to develop into a position. When creating this type of goal be sure that the employee has extra support as they may be moving into an area where they have had limited experience.

Goals based on the performance area are good when an employee needs to reinforce their current skills for their position because they are not doing as well as they used to and need motivation towards improvement or they need to be challenged by helping others.

When you are creating a goal for the employee it can help to think about the purpose of the SMART goal. This is to create the structure the employee needs to develop a new skill for development into a new role or to focus the employee on an area in which they need to improve. When developing the goal you must think about both what the employee wants and what you need from the employee.

# Where do I Start?



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## Training Notes:

Notes:

### Tab 05 – Chart of Goals by Knowledge Area

Goals can be challenging to write because many of the goals are not based on the type of work that TMII's and TMI's perform. The chart above displays many of the attributes that are specific to the type of actions a TMII or TMI would take in the performance of their work and the skills that they need to develop to advance. Use the first column to determine the area you want to develop in your employee. For example, if you have a employee who has trouble working with other employees you could choose Teamwork and Cooperation. From here you can apply the SMART process to create a goal. For example the source may be that the employee is not good at compromising and seeks to get their way. Depending on the difficulty of the goal, you may need to build in touchpoints to ensure the employee does not get frustrated.

# Cascading a Goal and Library Goals



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## Training Notes:

### Notes:

In addition to creating a goal from scratch, there are two other ways to create a goal. They are cascading a goal and adding a library goal.

**Cascading** - Cascading a goal means that you can assign one of your goals to one of your subordinate employees. The video can be found at the following address:

<https://www.youtube.com/watch?v=LumbW8vSM0c&feature=youtu.be>

**Library** – HR wrote over 175 performance goals and added them to the PMP goals library, so they could be used on the 2016 Performance Management plans. Library goals can be used as is, or modified to better describe a specific employee's goal. They are grouped by category, in an effort to make it easier to find a goal that fits. They include not only the target but also the measurement. The video on how to use library goals can be found at the following address: <https://www.youtube.com/watch?v=RGtmeqgPmUc>

# Eliminating Barriers to Improvement

Goals eliminate barriers to improvement by:

- Clearly defining what is expected of the employee
- Requiring communication with the employee that they have everything they need for success
- Committing you and the employee to change



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## Training Notes:

### Notes:

Goals are designed to provide employees with the motivation they need to improve their skills or to change a behavior. But what does this mean? In order for employees to be motivated they need to have a clear vision of what is expected of them. This is why Performance Management is so important. By meeting with your employees and telling them how their position connects to CDOT's success you are engaging them.

When you meet with your employee you provide direction and are also able to answer questions about how they are performing. This is the question that many employees have on their mind. When you create a goal for an employee you are also making sure it is achievable. This means that you have communicated with the employee and have found a path for the employee to be successful. Lastly, goals also provide commitment for employees. By clarifying what is expected of the employee you are also reducing the anxiety about how to make a change they want to make, but do not know how.

# Goals and Top Performers



When creating goals for top performers:

- Create goals that allow them to teach others
- When a top performer reaches a goal provide specific feedback
- Create goals that allow them to learn through special assignment

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## Notes:

Goals can also be used to help keep highly motivated employees engaged. Typically, when there is a top performer then there is the thought, “if its not broken don’t fix it” approach to management. But your top performers have a good understanding of what is expected of them and are also good at communicating what they are doing right.

**Teaching Others** - Create performance goals to allow them to share their experience. This not only acknowledges them for what they have done well, but allows them to be recognized by other employees as well.

**Specific Feedback** – Awareness goes a long way towards understanding. When you provide specific feedback you are showing the employee you are paying attention to them and the work they do. This is most likely one of the factors that motivates them. This also prevents them from falling into bad habits.

**Special Assignments** – Work with the employee so they do not stagnate by assigning them tasks that they have not mastered. This provides them with the opportunity to learn new skills and keeps them engaged. This also allows them a safe environment to learn new skills.

## Training Notes:

# Goals and Unmotivated Employees

When working with unmotivated employees use goals to:

- Create a dialogue with the employee
- Explain why
- Create small changes with a big impact
- Be specific



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## Training Notes:

### Notes:

During the creation of performance goals you are presented with the perfect opportunity to talk to the employee about their performance. When it comes time to talk to an employee who is unmotivated about performance try the following to create the goals for the employee.

**Create a dialogue** – By talking to the employee and listening you may discover that there is a reason why they are not motivated. It may be something you are able to change. Try asking open ended questions to get the most information out of the employee about why they are not motivated.

**Explain Why** – When you provide feedback to the employee they need to understand *why* they need to change their behavior. By explaining how their behavior impacts their Coworkers, Maintenance, or CDOT you are creating motivation to change. Use your factual documentation to aid the discussion.

**Small Changes With a Big Impact** – Talk to the employee and find out what actions, no matter how small, the employee can work on to make a change. When an employee is unmotivated this is usually because they don't know how to make the change. Working one small issue can provide the motivation they need to work on more ambitious goals.

**Specific** – When you are talking to the employee tell them specifically what they have done right. For example instead of saying “great job this week” you could say, “I noticed that this week you took an extra tool with you, this made a difference in completing the project on time. Great job on thinking ahead and being proactive!” In addition to letting your employees know they are doing right. It is a great management tool to let them know you are paying attention to the work they are doing. Use the same tactic to provide feedback when creating a goal.



## Additional Documentation

In addition to goals the:

- PDF is used to document specific actions by the employee
- PIP is required if a rating of one is given to an employee



### Training Notes:

#### Notes:

The following will be covered more in section five of this course. There are two instances when additional documentation should be created in addition to the performance goals of the employee.

**Performance Development Form (PDF)** – The Performance Development form can be used to document a specific action by the employee for both good and poor performance. It is best to keep track of the actions you want to document throughout the performance plan year through this type of documentation.

**Performance Improvement Plan (PIP)** – The Performance Improvement Plan is created if an employee receives a rating of one star on any one of their goals. The PIP is active for a period of 90 days. The PIP must be signed by the employee.



## Check Your Knowledge

1. S.M.A.R.T is a mnemonic that stands for:
2. When you share your goal with an employee, it is known as:



### Training Notes:

Notes:



# Giving the Performance Evaluation

*Performance Management: Not Just the Evaluation*



# Course Agenda

- *Learning Logistics*
- *Section 1 – Performance Management*
- *Section 2 – Performance Planning*
- **Section 3 – Giving Performance Evaluations**
- *Section 4 – Ongoing Communication*
- *Section 5 – When Expectations are not Met*
- *Conclusion*

## Training Notes:

### Notes:

This course provides an outline of the actions the TMIII needs to take throughout the Performance Plan year to provide ongoing feedback to their employees. It is comprised of the following sections:

- Learning Logistics – This section introduces you to the course, the objectives and the expectations of the participants.
- Section 1 - Provides an introduction to Performance Management including requirements, roles, and the leadership role of the TMIII.
- Section 2 – Explains the role of the TMIII in setting expectations, in the form of a goal, with their employees and what to do if you have low commitment or barriers to improvement.
- **Section 3 – Outlines how to give the Performance Evaluation including preparing for the meeting, what to do during the performance evaluation.**
- Section 4 – This section gives you the tools to provide ongoing communication with your employees, resolving issues and discussing problems with your employees before they become issues.
- Section 5 – Describes the actions you need to take when you have employees who don't meet expectations and how to resolve it at the lowest level.
- Conclusion – This section summarizes the course and provides explains where you can get help.

## Section 3 Learning Objectives

At the end of this section, you should be able to:

- Describe the Performance Management Process
- Explain the role of the TMIII in conducting the Performance Evaluation
- Describe how to prepare for the performance evaluation meeting
- Describe what actions to take if the employee is angry, non-responsive or upset
- Explain how to provide constructive feedback
- Explain how to rate an employees performance

### Training Notes:

#### Notes:

- Each of the learning objectives corresponds to a slide, or a series of slides, in this section of the course.
- By the end of this section you should be able to perform each of the listed objectives with the support of the training materials.
- The section objectives are tied directly to the course objectives reviewed at the end of the course.

## Terms and Concepts



- **Performance Evaluation** – *The process of evaluating the performance of employees, sharing information with them about the organization and searching for ways to improve performance*

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### Training Notes:

#### Notes:

- The following terms and concepts are critical to your understanding of this section of the course.
- If you do not understand a term, please ask the instructor for additional clarification.

# TMIII Role in Performance Management

During the Midyear and Final Performance Review  
TMIII:

- Prepares for the review by completing the Review Checklist
- Discusses employee progress
- Documents the results of the meeting
- Follows up with any additional documents
- Answers questions from the 2<sup>nd</sup> level reviewer
- Ensure all deadlines are met



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## Training Notes:

Notes:

**Tab 06 Midyear Performance Review Checklist**

**Tab 07 Final Performance Review Checklist**

### **Role of the TMIII**

The Supervisor must meet with the employee to discuss the goals and expectations. Prior to meeting with the employee, you should prepare for the meeting by gathering the necessary information (CDOT's mission and goals, discussion of the current performance year, and ideas for suggested goals). The supervisor should also provide comments on the ratings of the employees and create additional forms and documentation such as the PIP and PDF as required. An example of the Supervisor in Maintenance is the TMIIIs.

The following are key dates for the Performance Management process:

- PMP Planning 4/1
- Employee Acknowledgement 4/8
- Midyear Ratings and Goals 10/10
- Employee Midyear Acknowledgement 10/17
- October through March Rating 04/01
- Final Rating 04/01
- Signature 4/15 (available from reviewer by 04/08)
- Employee Signature by 04/22

# Connect with your Employees

## *Be approachable*

- Be someone they want to talk to

## *Communicate with you employee and your supervisor*

- Tell them what's happening or not happening

## *Listen to your employees*

- Understand their frame of reference
- Ask good questions



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## Training Notes:

### Notes:

As a leader it is important to develop strong relationships with your employees. This is accomplished by being approachable by your employees. When you connect with employees you are able to identify employment issues quickly, because you will be more aware of when an employee is having an issue. Additionally, you will be told when something is happening, or not working.

# Preparing for the Meeting/Conversation

When preparing for the meeting/conversation:

- Use the midyear and final performance review checklist
- Anticipate the reactions to feedback “buttons”
- Allow enough time
- Ensure it is private and you are not interrupted

The image shows two overlapping performance review checklists. The top one is the 'Midyear Performance Review Checklist' and the bottom one is the 'Final Performance Review Checklist'. Both forms have a header with the title and a section for 'Name of Employee' and 'Date Time of Meeting'. Below that is a paragraph of instructions. The checklists are organized into three main sections: 'Before the Meeting', 'During the Meeting', and 'Follow-up'. Each section contains a list of numbered items to be checked or discussed during the review process.

## Training Notes:

### Notes:

#### Tab 06 Midyear Performance Review Checklist

#### Tab 07 Final Performance Review Checklist

When you are discussing the performance of an employee, prepare for the meeting by:

**Checklists** - When you are preparing to talk to an employee always be prepared. The checklists have been created to make sure to have everything you need for the meeting. Also think about how the employee may react to your feedback and be prepared.

**Buttons you Might Push** – Think about what you know about your employee and their personal history. What points in the conversation are going to press buttons. Think about ways you can get your point across without pressing the button. In other words how can you redirect the conversation so it does not become about this topic. For example, you have two employees (Mark and David) who are not getting along. Mark has an argument with another employee and you need to discuss his ability to work with other employees. In this example you might want to not use David as an example and depersonalize it. If Mark were to bring the topic of David up then you could be prepared to redirect the conversation about Marks behavior and not David.

**Allow Enough Time** – When setting the meeting be sure to allow enough time to have a discussion. Some of the performance meeting may take longer than others because of the conversation you need to have with the employee or because it has been a while since you have talked. This also means that you need to make sure you employee has enough time for the meeting as well.

**Private** – Have all of your meetings in a private place that is free of interruptions. This is especially true if you are providing feedback that might be sensitive.



# Providing Feedback

When providing feedback:

- Make sure it is work related
- Based on observance of not assumptions
- Based on the behavior and not the person



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## Training Notes:

Notes:

### **Tab 08 – Giving Feedback**

### **Tab 09 - Attitude**

Feedback is how employees know how they are performing. As a supervisor, it is up to you to communicate to your employees frequently enough so they know how they are doing. This ultimately depends on the employee. For example, you may need to have more frequent communication with a new employee or an employee who is struggling than with an employee who is doing well and understands their position well. When you provide feedback, both positive and improvement related, use the following:

**Candid** – When you provide feedback to the employee they need to understand specifically what actions they are doing right or what actions they need to change. By being honest and direct about your feedback to the employee you do not leave room for misunderstandings about how the actions of the employee are positive or need improvement. An important step to take before you provide the feedback is to ask is there a constructive reason for the feedback? In other words is it meaningful to the performance of the employee. If the answer is “no” then this is not a conversation you should have with the employee because this is judgmental or not based on specific behaviors.

**Continued on the next page**

**Specific** – When you are providing feedback tell them specifically what they have done. For example instead of saying “Great job this week!” you could say, “I noticed that this week you took an extra tool with you, this made a difference in completing the project on time. Great job on thinking ahead and being proactive!” In addition to letting your employees know they are doing right, it is a great management tool to let them know you are paying attention to the work they are doing.

**Positive** – When you provide feedback, be positive. This is easy to do when it is positive feedback, but is more important when there is change the employee needs to make. Being positive about the change shows that you believe the employee will make the change. It also shows that you are willing to work with them.

**Timely / Frequent** - Try and provide the feedback to the employee as close to the event as possible. However, you do want to allow yourself time to document the behavior and prepare for the conversation. Additionally, it is important to have the conversation in a private place and this may take time if the person is working as part of a road crew.

**Action Focused** – When you provide feedback provide examples of actions the employee has done or needs to do. This reinforces the positive behavior and when improvement is required allows the employee to model the behavior and show they are taking action on feedback you are providing. It also makes it easier for you to evaluate the performance. In other words, provide them with the tools they need to make the change.

**Job Related** – When you provide feedback it should be based only job related activities of the employee.

**Training Notes:**

# What to do if the employee is...

Angry	Non-responsive	Defensive
<ul style="list-style-type: none"> <li>• Discuss only the performance of the employee and not their feelings</li> <li>• Acknowledge the employee is upset</li> <li>• Ask the employees for details about why they are upset</li> <li>• Ask for help in understanding why the person is angry</li> <li>• Change the meeting to another time after a cooling off period</li> </ul>	<ul style="list-style-type: none"> <li>• Engage with the employee by asking questions about the action</li> <li>• Allow the employee some breathing room to reschedule the appointment</li> <li>• Listen actively when the employee speaks</li> </ul>	<ul style="list-style-type: none"> <li>• Be direct with the employee</li> <li>• Provide specific examples of the behavior</li> <li>• Acknowledge the employee viewpoint and redirect to policy</li> <li>• Do not ask questions about the behavior</li> </ul>

## Training Notes:

Notes:

### **Tab 10 – Silencing Common Gripes**

When you provide feedback to the employee sometimes they might not understand that what you are doing is trying to help them. This may be because they are angry about the situation they are in or they may be defensive about their actions because they felt what they were doing was right. In other cases the employee may choose not to respond to the situation because they are afraid they may say something wrong. The following are tip about what to do if you encounter this type of behavior.

If the behavior, such as being angry, occurs often then this might be a separate issue that needs to be addressed in a different meeting.

## Step 1 - Gather the Details

Prior to rating an employee review:

- The competencies descriptions and goals
- The PDQ
- Notes on performance from your notebook
- Emails/conversations from others about performance

### Training Notes:

#### Notes:

Before you begin the process of evaluating the employee, take a moment to familiarize yourself with the documentation you have gathered throughout the Performance plan year. When you go to the rating sheet the competencies are listed and a description is provided. Review all of the competencies and the goals you and the employee have created. Think about how well the employee performed against each competency and their goals.

Now review the PDQ. Keep in mind that you should only evaluate an employee on what is within the PDQ of the employee. In other words, employees are rated upon how well they performed in their position based on the PDQ. This is why you provide it to the employee at the beginning of the Performance year.

Next review your notes, emails and conversations about the employee's performance. Reviewing this documentation should give you an understanding of how the employee performed their work towards the goals and how they did against each of the competencies.

## Step 2 - Rating the Employee

Level 3 Exceptional  
(\*\*\*\*\*) 5 stars

Level 2  
Successful or  
Expected  
Performance  
(2, 3 or 4  
Stars)

2+  
\*\*\*\*

2  
\*\*\*

2-  
\*\*

Level 1 Needs  
Improvement (\*) 1 star

### **When rating remember:**

- An employee may excel in one area and may do poorly in another
- Not evaluated based on other employees
- May have a 2+ or 2- rating
- Performance is based on how well the employee performs their job based on PDQ

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### Training Notes:

#### Notes:

The next step is to rank the employee's performance against their position and each of the competencies and goals.

**Level 3 Exceptional (5 stars)** – This rating is for an exceptional employee, in relation to the competency or goal with significant and positive impact on the performance of the unit and an unusual level of performance. Items to look for include:

- Exceptionally high performance
- Documented performance from peers, you or customers that indicate the employee has made an exceptional contribution in this area.
- Willingness to take on new tasks and activities

**Level 2 (4,3,2 Stars)** – This area covers the range of expected performance of an employee. In addition to the rating of three stars there is the ability of the supervisor to further distinguish the rating as 4 stars (2+) or two stars (2-) This is covered on the next slide.

**Level 1 (1 Star)** – The employee needs improvement or does not meet the goal for the stated period and their performance needs to be improved. Assigning the rating means that a Performance Improvement Plan (PIP) needs to be created so the employee is able to perform their work. To assign this rating, you should be documenting the behavior of the employee throughout the performance plan period to support the rating.

## Step 3 – Define Expectations (2+ and 2-)

2

### ***Occasionally Exceeds***

Employee performs occasional exceptional work with the majority of work being as expected

2

### ***Occasionally Meets***

Employee performance is poor at times with the majority of work being as expected

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### Training Notes:

#### Notes:

The next step is to look at the mid range of performance. This is where the majority of the work of the employee is expected, with performance being exceptional at times or needing improvement at times.

**Occasionally Exceeds (4 stars)** – Most of the performance of the employee is average. But the employee is being acknowledged for something they have done outside of the norm, such as a project or helping others improve performance throughout the performance period. Occasionally Exceeds highlights periods of exceptional work followed by periods of normal work performance.

**Occasionally meets (2 Stars)** – Most of the work is average, but there are times when it dips below average. This is characterized as an employee who is having difficulty meeting the expectations followed by normal work performance throughout the rest of the performance period.

## Exercise One



Match the statement to Level of performance

- Matt has complied with all of his safety training
- Christine is viewed as a safety resource by her peers
- John has occasionally been coached by his peers on safety
- Beverly had several minor safety issues such as not wearing her vest in traffic and reported for talking on her cell phone while driving
- Mark has complied with all safety standards and has occasionally worked to explain safety procedures

E

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### Training Notes:

#### Notes:

1. Take a moment to review each of the five statements on safety. Identify the rating which you would assign a rating of 1, 3 and 5 stars. Once you have done this stop and there will be a group discussion about the ratings.
2. After the discussion assign a rating of 2+ or 2 – with the two remaining items. There will be a discussion about these values when you are done with the rating.
3. Discuss what makes the rating of 5 to 1 stars

## Check Your Knowledge

If you perform work as expected, with occasional exceptional work, you will receive a \_\_\_\_\_ rating.

Your feedback should be based on the behavior and not the \_\_\_\_\_.



### Training Notes:

Notes:





# Ongoing Communication

*Performance Management: Not Just the Evaluation*



# Course Agenda

- *Learning Logistics*
- *Section 1 – Performance Management*
- *Section 2 – Performance Planning*
- *Section 3 – Giving Performance Evaluations*
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## Training Notes:

### Notes:

This course provides an outline of the actions the TMIII needs to take throughout the Performance Plan year to provide ongoing feedback to their employees. It is comprised of the following sections:

- Learning Logistics – This section introduces you to the course, the objectives and the expectations of the participants.
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- Conclusion – This section summarizes the course and provides explains where you can get help.

## Section 4 Learning Objectives

At the end of this section, you should be able to:

- Describe why communication is important (workplace changes, priorities, information and problem identification)
- Identify the amount of Ongoing Communication required (striking the balance, not all the same)
- Preparing for the meeting (checklist)
- Describe how to document your observation
- Conduct the meeting (purpose of meeting, update on CDOT, focus on what the employee is working on, if issues work to resolve)
- Describe what to document from the meeting (follow up if problems exist)

### Training Notes:

#### Notes:

- Each of the learning objectives corresponds to a slide, or a series of slides, in this section of the course.
- By the end of this section you should be able to perform each of the listed objectives with the support of the training materials.
- The section objectives are tied directly to the course objectives reviewed at the end of the course.

## Terms and Concepts



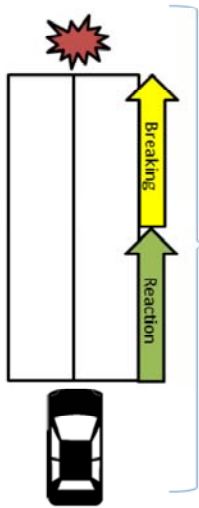
- **Ongoing Communication** – The process where there is continuous and ongoing communication between the employee and their supervisor throughout the performance plan year
- **Performance Documentation Form** – A form used to document both positive performance and performance that needs improvement
- **Performance Communication** – Communication between the employee and the supervisor about performance goals, competencies and other expectations about work performance

### Training Notes:

#### Notes:

- The following terms and concepts are critical to your understanding of this section of the course.
- If you do not understand a term, please ask the instructor for additional clarification.

# Ongoing Communication and Performance



Ongoing Performance Communication allows the employee to react before issues occur. Examples include:

- Weekly meetings
- One-on-one communication
- Counseling
- Minor corrections based on observation
- Discussion of goals
- Emails about changes
- Hallway chats

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## Training Notes:

### Notes:

Formal communication with the employee about their performance was discussed in the last section. In addition to the formal communication ongoing informal communication is critical to the success of your employees.

If you wait only until you have a performance evaluation to talk to your employees then you are missing the opportunity to provide the small adjustment necessary throughout the year the employee needs to make changes. This is also where much of the communications about the tasks the employee needs to understand can occur. Communicating throughout the year also allows the employee to make changes before their actions need to be resolved through a disciplinary process. As a supervisor you benefit because when the time to evaluate employees comes there are no surprises.

# Interim Communication



Interim rating occurs when there is a:

- Transfer, promotion or demotion (requires a new performance plan)
- New supervisor
- Needs Improvement rating

\* Requires a **new** performance plan

## Training Notes:

### Notes:

In addition to the communication you would conduct with your employees, you should communicate with the employee anytime their job changes for any of the reasons in the slide above. You should work with the employee and make sure they understand the changes that have occurred.

- When the employee transfers, promotes or demotes then a new performance plan needs to be created. This is because there needs to be communication about what the expectations are of the new position.
- If the employee has a new supervisor, or the employee is under a new manager than there should be a meeting with the employee so there is a shared understanding between the new supervisor about the goals and competencies and a discussion about the work the employee performs.

# Communication and Leadership

When asked about what prevented an employee's supervisor from being effective the top three responses were:

- Not recognizing employee achievement
- Not giving clear directions
- Not making time to meet with the employee



\*Source Interact/Harris poll

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## Training Notes:

### Notes:

In a recent poll employees were asked about what prevented a supervisor from being effective. The ability to effectively communicate to an employee about what they are doing right and where they need improvement is critical to your success. The first item on the list is that employees want to be acknowledged for the work they have done and they would like for this to occur as close to the event as possible. Employees also want to do their best and an important part of this is understanding is what is expected of them. Lastly, they want to have time made for them so they are able to better understand what they need to do and discuss their progress.

The next three slides provide more details about the bulleted list above.

# Recognizing Employee Achievement

When an employee does something right:

- If you see something say something
- Provide feedback be specific
- Tie it to CDOT Values
- Document it!

Employee recognition programs include:

- Monthly Division/Workshop recognition
- Leadership coins
- Statewide employee recognition
- Lean everyday ideas



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## Training Notes:

### Notes:

As a supervisor there is a tendency to look at only the actions that employees are doing wrong. But when was the last time you took the time to talk to an employee to let them know what they are doing right? One of the biggest complaints employees had about their supervisor is that they are not acknowledged for what they do right.

This may be obvious, but when you see something going right it is usually because of the efforts of the team.

In addition let the employee know exactly what they have done right and don't just say "good job". What did the employee do right. For example, "Mark, I noticed how patient you were when explaining how to fill in a work order. That's great teamwork and really helped me as I have to approve them. Thanks!"

It is also nice to tie it into the core CDOT values. This lets the employee know that you are noticing the work they are doing based on their performance plan.

Document the behavior. When you document then you remember and can provide examples of the types of actions your employees are doing to make you a successful supervisor.

CDOT is currently in the process of creating an employee recognition program. This program, once it goes live, will formalize current efforts in place.



# Providing Clear Directions

When providing directions:

- Give instructions not orders
- Connect the work to the project
- Emphasize the key points
- Communicate a timeline
- Adjust based on experience



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## Training Notes:

### Notes:

Employees get frustrated when they do not have clear directions about what they need to do. They also do not want to be micromanaged to the point where they do not have the freedom to complete their work in the best possible way possible. When assigning a task or a project be sure to build in enough time to perform the following:

**Give instructions not orders** – When you give instructions, you are providing the employee with the freedom to handle the task in the best possible way instead of the way you told them to do the task. This also shows you trust the employee and they have to think about the best way to get the project done.

**Connect the work to the project** – When a group of employees are working on the project it is always helpful to know why. Providing an explanation of why the work is important to complete helps the employee to connect the dots about why the work is important to CDOT. It also is a reminder of how their work contributes to the overall mission, vision of CDOT and also why it is important.

***Continued on next page***

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**Emphasize the key points** – When you provide the directions, emphasize the key points of the work they need to accomplish. Be sure to let the employee know the work they are accountable for, and the resources they need to get it done.

**Communicate a timeline** – When you communicate what you want the employee to do, be sure to include when you want it done as part of the assignment of the task. When you communicate the timeline be prepared that the employee may have other assignments they are working on, members of the team may have limited skills and other factors that may have an impact on the timeline.

**Adjust based on experience** – There is a fine line between spending too much time on providing the details the employee needs and getting the work done. If it takes too long ask yourself why and work with the employee to develop the skills they need to develop.

**Training Notes:**

# Making Time to Meet with Employees



When you meet with employees:

- Understand the feedback requirements of your employees
- Make the most of the meetings you have with the employee
- Have questions you would like to ask the employee ready
- Be proactive in communication
- Understand what is communication for your employee

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Notes:

It can be difficult to meet with employees as a supervisor because of the demands placed on your time.

**Understand the feedback requirements** – Not all employees are the same when it comes to how much you need to communicate with them. Some employees may require that you provide them immediate feedback while others may only need to have infrequent communication. By understanding the amount of communication an employee needs then you can budget your time accordingly so that you are able to meet this need better.

**Be proactive in communication** – Employees are people and are in most cases predictable in their behavior. When you have a meeting with an employee what happens after the meeting? Does the employee work on the task, or do they process the task and then come back to you with questions? Understanding what is going to happen next allows you to plan ahead. For example, if you have an employee who comes back to you with questions, let them know the time you will be available later in the day for questions and outline how you want to receive the questions. This not only helps you to budget your own time, but the employee remains productive. If the employee does not take notes suggest they do and follow up with them reading the notes back to you so you ensure the key points have been understood.

***Continued on next page***

Training Notes:

*Continued from previous page*

**Make the most of the meetings you have** – When you have meetings make sure the employee leaves with everything they need prior to the end of the meeting. This is done by providing clear directions about what they need to accomplish. Set a time limit for the conversation and let the employee know what they need to communicate or prepare prior to the meeting.

**Understand what is communication** – What is the preferred communication of the employee. For example you may spend a lot of time drafting an email to an employee to let them know what you would like them to do, but then they come to you with questions about the project. Why not spend the time meeting with the employee, that you would take drafting the email instead or use the email as a follow-up? Understanding what is effective communication means you will spend less time communicating in ways that do not meet the needs of the employee.

**Training Notes:**

# Documenting Observations

Here are two options to document observations:

## ***The PDF:***

- Documents both desirable and less than desirable behavior
- Not part of formal discipline process
- Documents exceptional behavior

## ***The Performance Log:***

- Documents everyday actions
- Not part of the formal discipline process
- Documents everyday occurrences

## Training Notes:

Notes:

### **Tab 11 – Performance Log**

Documenting the behavior of your employees is important to tying the behavior to their performance. The PDF is used mainly as an escalation process in the informal discipline process, but it can also be used to document desirable behavior.

The performance log has been created to allow supervisors to document occurrences of everyday behavior and serves as a reminder of observations the supervisor has seen that are both desirable and undesirable. This allows the supervisor to talk to the employee about their actions and provide specific feedback. The performance log will be discussed more in the Progressive Discipline course.

# Sharing Information

## *When sharing information:*

- Let employees know as soon as you can
- Avoid rumors
- Provide feedback
- Share what you can

## Training Notes:

### Notes:

Sharing information, when you are able, is one of the most important aspects of the job of the supervisor. When sharing information, keep in mind the following:

**Let employees know as soon as you can** – As a supervisor you may be privy to information that your employees would like to know, but are not able to because of organization needs. When you are able to share information you should do so with all employees. Sharing information when you are able allows employees to be connected to what's happening in the organization. When employees learn about an event through the news or through other channels when you have the information, then they may feel the organization does not trust them, or that they are out of the loop.

**Avoid rumors** – In the absence of a message one is usually created from what is known and it is rarely correct. This is also know as a rumor, and is most likely to occur when a leader does not share information or provide a reason why they are unable to share information or even if the information is bad news.

**Provide Feedback** – Providing feedback is also information the employee needs to hear. If you observe something the employee is doing that is not desirable, then you should not hold on to this information unless it is something that should be discussed in private so the employee is not embarrassed.

**Share what you can** – When you have information you may not be able to share everything, but you can share a little of what you know and the reason you are not able to provide the rest of the information. This can build trust and prevent rumors because everyone one is on the same page.

## Exercise Two

### Group Discussion:



Using the information from the previous slide, what did Shailen demonstrate about sharing information with employees.

E

Colorado Department of Transportation

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### Training Notes:

#### Notes:

- Using the information from the previous page, what was demonstrated about sharing information?

## Check Your Knowledge

*What are the two documents you can use to document employee behavior?*

*What can prevent a supervisor from being effective?*



### Training Notes:

Notes:





# When Expectations are not Met

*Performance Management: Not Just the Evaluation*



# Course Agenda

- *Learning Logistics*
- *Section 1 – Performance Management*
- *Section 2 – Performance Planning*
- *Section 3 – Giving Performance Evaluations*
- *Section 4 – Ongoing Communication*
- **Section 5 – When Expectations are not Met**
- Conclusion

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## Training Notes:

### Notes:

This course provides an outline of the actions the TMIII needs to take throughout the Performance Plan year to provide ongoing feedback to their employees. It is comprised of the following sections:

- Learning Logistics – This section introduces you to the course, the objectives and the expectations of the participants.
- Section 1 - Provides an introduction to Performance Management including requirements, roles, and the leadership role of the TMIII.
- Section 2 – Explains the role of the TMIII in setting expectations, in the form of a goal, with their employees and what to do if you have low commitment or barriers to improvement.
- Section 3 – Outlines how to give the Performance Evaluation including preparing for the meeting, what to do during the performance evaluation.
- Section 4 – This section gives you the tools to provide ongoing communication with your employees, resolving issues and discussing problems with your employees before they become issues.
- **Section 5 – Describes the actions you need to take when you have employees who don't meet expectations and how to resolve it at the lowest level.**
- Conclusion – This section summarizes the course and provides explains where you can get help.

## Section 5 Learning Objectives

At the end of this section, you should be able to:

- Identify when you have a performance issue
- Describe the connection between Performance Management and progressive discipline
- Identify when to use the Performance Improvement Plan
- Describe what to discuss with the employee when you meet with them to discuss the PIP

### Training Notes:

#### Notes:

- Each of the learning objectives corresponds to a slide, or a series of slides, in this section of the course.
- By the end of this section you should be able to perform each of the listed objectives with the support of the training materials.
- The section objectives are tied directly to the course objectives reviewed at the end of the course.

## Terms and Concepts



- **Progressive Discipline** – Is the process of communicating what performance is for an employee and using increasingly severe steps or measures when an employee fails to correct a issue with their performance.
- **Performance Management** – The process by which CDOT involves its employees, as a group and individuals in improving the organization and accomplishing the goals and objectives
- **Performance Improvement Plan** - an informal tool to assist employee improve their job performance

### Training Notes:

#### Notes:

- The following terms and concepts are critical to your understanding of this section of the course.
- If you do not understand a term, please ask the instructor for additional clarification.

## Identifying the Signs of Poor Performance



Signs of poor performance include:

- Relying on others too much
- Poor work quality
- Violating Policy and/or Rules
- Ignoring CDOT values
- Missing deadlines
- Not working well with other or affecting the others
- High absentee rate
- Employee is late or leaves early

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### Training Notes:

#### Notes:

As a supervisor one of the most difficult tasks is to identify when an employee is having an issue with performance that needs to be addressed. There are many reasons for this however the most common is that the problem with performance occurs over time and the supervisor is only aware of the issue once an event occurs that impacts the employee or the team. Ignoring or excusing poor performance results in frustration of other members of the team and may cause other performance issues with other members of the team. This is why it is critical to engage and get to know your employees from the start. The only way to effectively “deal” with the issue of performance is to effectively acknowledge it is an issue and work with the employee to resolve the performance issue. The following are the signs of poor performance:

- Relying on others too much – Employee is consistently asking questions of other members of their team or will only perform certain tasks of their job they are comfortable with
- Poor work quality – Employee does not possess the required knowledge, skills or abilities of their position resulting in the same errors occurring frequently
- Violating Policy and/or Rules – Employee does not understand there is a policy or chooses to ignore the policy because it is “stupid”, “unnecessary” or doesn’t apply to them
- Ignoring CDOT values – Employee violates one of the values of Safety, Integrity, People, Customer Service, Excellence or Respect

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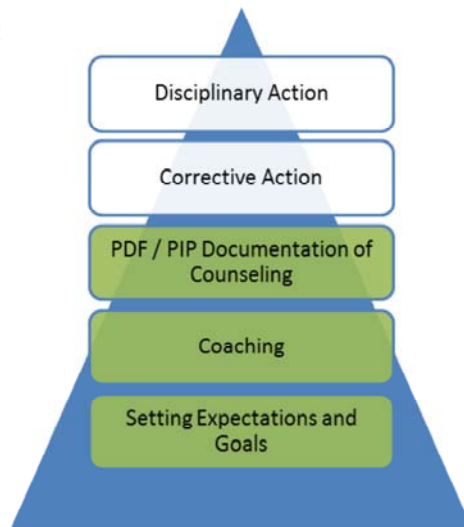
- Missing deadlines – Employee is consistently late with their work or asks for extension for projects because they are too difficult
- Not working well with other or affecting the others – Employee has conflicts with other employees; other employees find excuses not to work with an employee or the employee will only work with certain co-workers
- High absentee rate – The employee is absent on dates when projects are due or the number of absences the employee has is impacting their or their co-workers' ability to perform their job
- Employee is late or leaves early – When employees cut short their work hours this can be a sign that they may not have enough work or are looking to avoid the work they have been assigned

**Training Notes:**

## Performance Goals and Progressive Discipline

Performance issues can be addressed by:

- Performance goals
- Progressive discipline



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### Training Notes:

#### Notes:

The following diagram shows the steps of the progressive discipline process. Performance management and progressive discipline are similar processes where you establish expectations of the employee, counsel them on the correct behavior and document progress towards the goal. In other words the performance goals are an area where the employee can develop skills they need. Progressive discipline is the process where you work with an employee to develop a skill after it is clear that there is a performance issue.

**Setting Expectations and Goals** – This is the lowest level of the progressive disciplinary process and in many cases any issues with performance are resolved by communicating what the correct behavior is with the employee. The creation and monitoring of performance goals is also part of the process of setting expectations with the employee. By setting goals based on skills you want the employee to develop, you are letting the employee know that you would like to work with them to develop in this area.

**Coaching** – Coaching is also part of the Performance Management and the progressive disciplinary process. When you have created a goal for an employee in an area where they need development you need to counsel them on how to achieve the goal. If the employee does not achieve their goal then they need counseling on how to achieve the goal and documentation occurs on the progress of the goal in the Performance Management system.

**PDF / PIP Documentation of Counseling** – If an employee is not able to achieve their goal then documentation of needs to occur. The goal is for there to be no surprises when it is time to evaluate the employee on their progress and if a Performance Improvement Plan is created to address a performance issue then there needs to be a clear correlation between the rating of the performance goals and actions taken for progressive discipline. For the progressive discipline a PDF is drafted to document the incident.

## When to use the PIP

The PIP is:

- Created if an employee receives a needs improvement for a goal or competency
- An informal way to document specific behaviors
- When the action does not rise to the level of a corrective action



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### Training Notes:

#### Notes:

The Performance Improvement Plan is used to document specific behavior an Employee needs to improve and step-by step actions the employee needs to take to address their behavior. The Performance Improvement Plan is informal and is used when a supervisor needs to improve a behavior or when an employee receives a "needs improvement" during the Performance Plan year in any of their Performance Goals or Competencies. The Performance Improvement Plan needs to be acknowledged by the employee within seven days of it being sent by the Supervisor.

The Performance Improvement Plan is not part of the formal progressive disciplinary process and is not recognized as such by the Department of Personnel Administration.



# Development Plan

When creating an Individual Development Plan:

1. Provide a reason and motivation
  - To be the best possible Supervisor
2. Describe needs to be learned
  - Identify the competencies
3. Identify development actions
4. Implement the plan and follow-up

## Training Notes:

Notes:

**Tab 12 - Employee Assessment**

**Tab 13 - Individual Development Plan**

Development plans are a way to help focus an employee who wants to move up in the organization, or just to learn a new skill set. When you create an individual development plan. Be sure to provide a reason and the motivation as well as what you want them to be able to learn. In many ways the development of the plan is similar to the creation of a series of goals. It is for this reason you should keep the S.M.A.R.T goal methodology in mind when you are drafting the development plan for the employee.

## Using Your W.I.T.S

During the meeting with the employee to discuss the PIP explain:

- **Why** – Provide context on how the behavior impacts others at CDOT
- **Immediate** – Keep the feedback as close to the event as possible
- **Think Small** - Think about the chain of events that leads to success or failure
- **Specific** – Do not make your employees guess about behavior. Explain in detail what is needed



### Training Notes:

#### Notes:

When counseling an employee on their behavior and the reason for the creation of the PIP, the best way to remember what to do is to use the acronym W.I.T.S, which stand for Why, Immediate, Think Small, Specific.

**Why** – When you provide feedback to the employee they need to understand *why* they need to change their behavior. By explaining how their behavior impacts their Coworkers, Maintenance, or CDOT you are creating motivation to change.

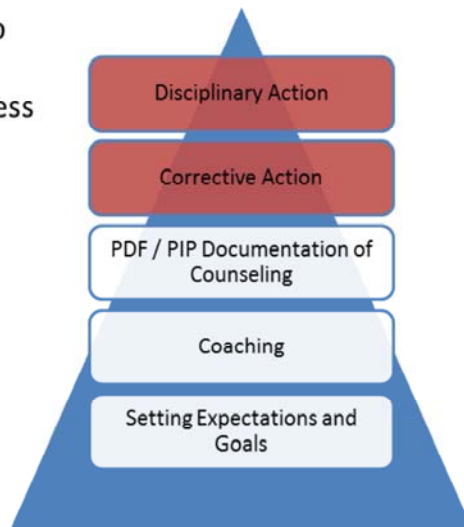
**Immediate** – Try and provide the counseling to the employee as close to the event as possible. However, you do want to allow yourself time to document the behavior and prepare for the conversation. Additionally it is important to have the conversation in a private place and this may take time if the person is working as part of a road crew.

**Think Small** – Counseling can be for both good behavior and undesirable behavior. When you provide feedback think about the chain of events. Thinking to bring an additional tool can make the difference between the project taking a couple of hours or a day.

**Specific** – When you are counseling an employee tell them specifically what they have done right. For example instead of saying “great job this week” you could say, “I noticed that this week you took an extra tool with you, this made a difference in completing the project on time. Great job on thinking ahead and being proactive!” In addition to letting your employees know they are doing right. It is a great management tool to let them know you are paying attention to the work they are doing.

# Progressive Discipline

When performance rises to the level of progressive discipline and how to process is discussed in the next course



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## Training Notes:

### Notes:

Once the behavior of the employee rises to the level of progressive discipline, there are different steps and actions you need to take. These actions are covered in the next course titled Progressive Discipline. The most important action you can take to address a performance issue is to create documentation of the events up to and including the need for the creation of a corrective or disciplinary action.

## Check Your Knowledge

True or False. The PIP is the first stage of the informal progressive disciplinary process.

W.I.T.S is an acronym that stands for \_\_\_\_\_?



### Training Notes:

Notes:

# Conclusion

*Performance Management: Not Just the Evaluation*

# Course Agenda

- *Learning Logistics*
- *Section 1 – Performance Management*
- *Section 2 – Performance Planning*
- *Section 3 – Giving Performance Evaluations*
- *Section 4 – Ongoing Communication*
- *Section 5 – When Expectations are not Met*
- **Conclusion**

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## Training Notes:

### Notes:

This course provides an outline of the actions the TMIII needs to take throughout the Performance Plan year to provide ongoing feedback to their employees. It is comprised of the following sections:

- Learning Logistics – This section introduces you to the course, the objectives and the expectations of the participants.
- Section 1 - Provides an introduction to Performance Management including requirements, roles, and the leadership role of the TMIII.
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- **Conclusion – This section summarizes the course and provides explains where you can get help.**

## Conclusion

### *You should now be able to:*

- Describe what Performance Management is at CDOT and your role
- Create Performance Management goals for employees and set expectations
- Describe the importance of ongoing communication throughout the performance plan year and how to prepare and conduct the meetings
- Identify when there are performance issues with employees and how to take action at the lowest possible level
- Give performance evaluations and provide feedback to the employee
- Describe when to use an Individual Development Plan (IDP) and the Performance Improvement Plan (PIP)

### Training Notes:

#### Notes:

- The slide above contains what you should now be able to do with the help of the training material. If you have questions about the content after this course refer to the next slide for the name and contact information of the people who can help.
- If you have a question now, please ask. You will have another chance at the end of the course, after we discuss where you are able to get help and the resources that are available to you.

## Key Takeaways

How to facilitate continuous engagement and improvement:

- Keep a performance log for each employee
- Be aware of employee concerns
- Create the right atmosphere on the review day
- Cite good work first and then address poor performance
- Reset your attitude if you need to (see slide on attitude)
- Pose great questions in the meeting to spur deep thinking
- Acknowledge mistakes
- Inspire/motivate others in difficult times

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### Training Notes:

#### Notes:

#### Tab XX - Attitude

The list in the slide above, are the key takeaways from this course.



## Where Can I Get Help – People?

For additional assistance contact:

- **Susan Maxfield: HR Business Partner**  
- *Email:* Susan.Maxfield@state.co.us
- **Beverly Wyatt: HR Business Partner**  
- *Email:* Beverly.Wyatt@state.co.us



Training Notes:

Notes:

- If you run into problems, please feel free to email the people above.

# Where Can I Get Help – People?

For additional assistance contact:

Region	Name	Email	Phone
One	Kathy M. Williams	kathy.williams@state.co.us	303-757-9386
Two	Mary Vigil	mary.vigil@state.co.us	719-546-5432
Three	Chip Brazelton	chip.brazelton@state.co.us	970-683-6210
Four	Juliet Sheets	juliet.sheets@state.co.us	970-350-2156
Five	Jason Benally	jason.benally@state.co.us	970-385-1403



## Notes:

If you are uncertain on how to proceed :

1. Start with contacting your direct supervisor for help with the process
2. If you still have questions, contact Regional Civil Rights Manager for your region.

## Training Notes:

The slide shows a list of the Civil Right Managers they are available to answer questions by region

Explain when the supervisor would need to contact Labor Relations

## Other Help Resources

The following resources are available:

- Performance Management page
- Instructional Guides and Work Instructions for Supervisors
- Milestone Dates for Performance Plan Year
- Performance Management Tools page
- Performance FAQ page



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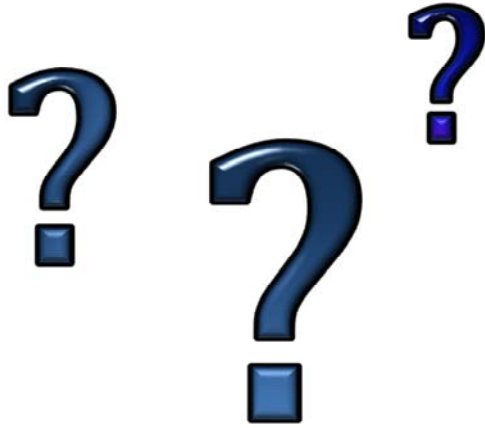
### Training Notes:

#### Notes:

The following resources are available to you.

- The Performance Management page can be found at the following address <http://intranet/employees/performance-management>
- Instruction guides and work instructions can be found at the following address: <http://vupweb.dot.state.co.us/gm/folder-1.11.63994>
- The Performance Management Tools page can be found at the following address: <http://intranet/employees/performance-management/performance-management-tools>
- The Milestone Dates for the Performance Plan year can be found at the following address: <http://intranet/employees/performance-management/performance-milestones>
- The Performance FAQs page can be found at the following address: <http://intranet/employees/performance-management/perf-faqs>

# Questions?



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## Training Notes:

### Notes:

Now let's review the parking lot questions. If there are any questions that have not been answered, then they will be answered via email within three working days. If you have any questions after the course, please contact Susan at [Susan.Maxfield@state.co.us](mailto:Susan.Maxfield@state.co.us) or you can drop by and ask.



# Tab 1 – Questions to Engage New Employees

## QUESTIONS TO ENGAGE NEW EMPLOYEES

- Why do you think we selected you as an employee?
- What do you like about the job and the organization?
- What's been going well? What are the highlights of your experiences so far? Why?
- Do you have enough, too much or too little time to do your work?
- How do you see your job relating to the organization's mission?
- What do you need to learn to improve? What can the organization do to help you become more successful in your job? (Be prepared for action.)
- Tell me what you don't understand about your job and about our organization.
- Compare the organization to what we explained it would be like.
- Which co-workers have been helpful since you arrived? (Pinpoint who can be influential in retaining new hire.)
- Whom do you talk to when you have questions about work? Do you feel comfortable asking?
- Does your supervisor clearly explain what the organization expects of you?
- Do you believe your ideas are valued? Give examples.
- How well do you get along with co-workers?
- Have you had any uncomfortable situations or conflicts with supervisors, co-workers or customers?
- Do you have any question for me or suggestions on how the job can be managed better?

[www.BusinessManagementDaily.com](http://www.BusinessManagementDaily.com)





## Tab 2 – Three Peaks Poster

**Purpose** Provide Freedom, Connection and Experience through Travel



**Summit** Best Department of Transportation in the Country for All Customers

## Peaks

Technology

People

System

Help Our People with Technology

Improve Travel Experience with Technology

Develop Leaders

Improve Customer Experience

## Base Camps

Big Data

Internal Customer Focus

Asset Condition

## Trails

Tech Savvy Team

Turning Data Into Intelligence

RoadX

Cell Phone Policy

Leadership Forum

National Rankings Scorecard

Winter Operations Readiness

Drones

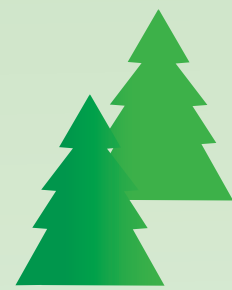
Intranet

3-D Modeling

Situational Awareness System

Masterworks

SRM Enhancements



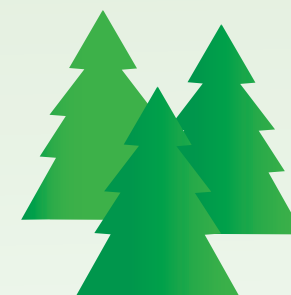
Salary Cap

Recognition Program

Underpaid Positions

Compensation & Benefits

Leadership Development

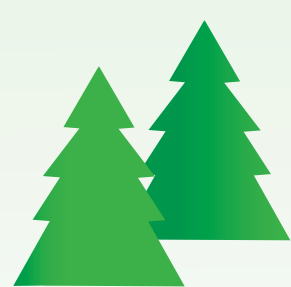


Maintenance Optimization

Striping Improvement

Local Agency Program from Federal to State Level

Transportation Project Communication



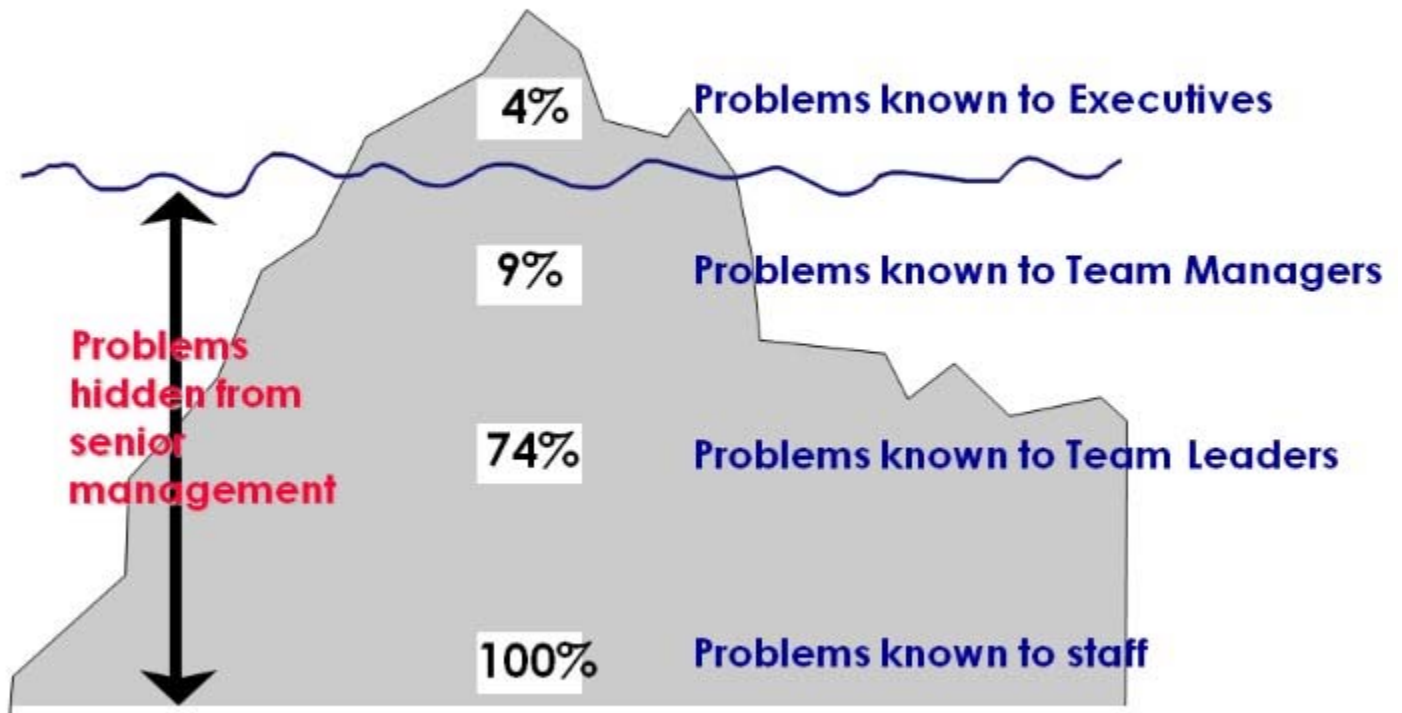







## Tab 3 – Iceberg of Ignorance

# Iceberg of Ignorance


## The Iceberg Of Ignorance



*Adapted from*  
"Quality Improvement and TQC Management at Calsonic in Japan and Overseas"  
*Sydney Yoshida*



## Tab 4 – Performance Management Requirements



# TECHNICAL GUIDANCE – PERFORMANCE MANAGEMENT

Prepared by the Division of Human Resources in the Department of Personnel & Administration. Issued June 12, 2015.

## GENERAL

This document is for use by human resources professionals and others who serve as supervisors/reviewers in the state's performance management system.

Colorado Revised Statute (C.R.S.) C.R.S. 24-50-104 and 24-50-125 govern performance management in the state personnel system. In addition, performance management system parameters are outlined in Chapter 6 of the State Personnel Rules. The state's performance management system has three components: Performance Management, Dispute Resolution, and Merit Pay. This technical assistance will provide guidance on performance management and the dispute resolution process.

The state's performance management system applies to all state classified employees in all departments (general government and institutions of higher education), with the exception of those in the medical pay plans. The evaluation of performance is used as a factor in compensation, promotions, demotions, removal from eligible lists, reduction of force, and all other transactions in which considerations of quality of service are properly a factor.

Statute requires the State Personnel Director to develop guidelines and coordinate a performance system that is simple and understandable with input from employees, managers, and other affected parties; that emphasizes planning, management, and evaluation of employee performance; and that includes uniform and consistent guidelines for all departments. Statute prohibits a forced distribution of performance ratings and authorizes individual and group (team) performance awards.

Rule 6-4 requires Departments to develop a performance management program that includes the dispute resolution process and is approved by the State Personnel Director before implementation. Allowing each department to develop their own performance management program provides departments the flexibility to develop an individualized program that reflects the mission and culture of their department.

## PERFORMANCE STEPS

The following steps are included when managing an employee's performance:

- Establish a performance plan;
- Establish standards and measures within the plan;
- Meet with the employee;
- Track and coach performance; and
- Conduct periodic progress reviews.

**Step 1: Establish the performance plan** – Before establishing the performance plan, best practice is to review the vision/mission of the department and of the work unit, the business requirements for the work unit, and the position description (PD) of employee. Such review will contribute to the development of critical goals to be accomplished by the employee. At a

minimum, always review the PD when creating the performance plan. When establishing the performance plan, keep in mind that communicating expectations to the employee is a key contributor to an employee performing satisfactorily, and that appointing authorities and designated raters are responsible for communicating performance expectations and standards, including an individual written performance plan. Performance plans align with unit and division objectives, which in turn align with the department's strategic plan. Every employee must receive a planning meeting by the date specified in the departments' performance management program.

**Step II. Establish standards and measures** – Think about critical success factors when measuring performance for a unit, and think about activities, objectives, competencies, results, and outcomes when measuring performance for employees. In addition to the required statewide core competencies (communication, interpersonal skills, customer service, accountability, and job knowledge), the performance plan identifies individual performance objectives (IPO's) that are specific to the job. These IPO's are not a list of tasks, but rather goals and objectives that describe an outcome. The method for measurement is clear and understandable to the employee and makes a clear distinction between what would be considered a successful rating and an exceptional rating. Standards and measures may change throughout the performance cycle; adjustments to the performance plan are to be made to reflect these changes as necessary.

**Step III. Meet with the employee** – Rule 6-4 requires a performance planning meeting with employees. Best practice is to meet with the employee to review and edit the performance plan together; to jointly set realistic and attainable goals and measurements; and to communicate priorities and reasonable target dates for outcomes. Such activities are likely to encourage buy-in and commitment from the employee. Remember that the most meaningful and successful performance plans are developed collaboratively with the employee. However, as the supervisor is responsible for assigning the work, agreement is not a requirement. Once the performance cycle begins, the employee will be evaluated/rated on those expectations contained in the performance plan.

**Step IV. Track and coach performance** – Supervisors need to track an employee's accomplishments, adjust priorities, and make changes to the performance plan accordingly. Rather than focusing exclusively on mid-year and year-end evaluations, focus on employee-centered, ongoing and continuous feedback regarding how their performance is meeting the supervisor's expectations. This will make the required mid-year and year-end process less cumbersome, as ongoing discussions throughout the performance cycle will result in a less labor intensive final overall evaluation. The work will already be done from the continuous, quality feedback provided throughout the performance cycle. In addition to knowing what is expected, per Rule 6-4, appointing authorities and designated raters are responsible for providing coaching and feedback during the performance cycle. One of the most commonly asked questions by supervisors is how to motivate employees to perform well. A significant part of motivating employees is providing quality coaching and feedback on a regular basis.

**Step V. Conduct periodic progress reviews** - Scheduling performance discussions with the employee to assess overall progress throughout the year is beneficial for both the employee as

well as the supervisor. Rule 6-4 requires at least one documented progress review be conducted during the performance cycle.

### **FINAL OVERALL PERFORMANCE EVALUATION**

When preparing for the final overall evaluation, gather all information that has already been documented throughout the year, via periodic performance assessment throughout the performance cycle (tracking sheets, notes to files, input/kudos from customers, computer generated stats, etc.) and plan for an adequate amount of time to meet with the employee. Supervisors/raters may ask the employee to bring a self appraisal (informal) and any tracking sheets, notes to files, input/kudos from customers, etc. to the meeting or send in advance. . The final overall evaluation must be reviewed by the Reviewer (signed and dated) before presenting the final overall evaluation to the employee. To finalize the formal evaluation process for the performance cycle, the supervisor should meet with the employee to present the final overall evaluation and rating. Subsequently, the rating date that is reported into payroll is the date the employee signed the final evaluation as identified on the performance evaluation cover page. The earliest date that an employee should receive a final performance evaluation is April 1<sup>st</sup>. All performance evaluations should be finalized no later than May 1 to ensure accurate and timely merit payments are recorded in payroll.

A final overall rating of Level 1 (Needs Improvement) shall result in a performance improvement plan or a corrective action and a reasonable amount of time to improve. A performance improvement plan is not a corrective action, but rather a more informal written communication to the employee about what is expected to improve performance and meet expectations.

### **ROLES AND RESPONSIBILITIES**

For the performance management cycle to be effective, everyone in the department must play a role.

**Supervisor/Rater** – Supervisor/raters play a key role as they guide, direct, and support the work of employees by:

- Communicating the performance management process, including plans for administering the process, to employees;
- Setting clear expectations for the employee’s job performance;
- Meeting regularly with employees to provide ongoing, continuous, quality feedback;
- Documenting significant events, accomplishments or milestones throughout the rating period;
- Praising accomplishments or positive behavior(s);
- Correcting performance or behavior when necessary; and
- Encouraging employee growth by teaching, coaching, and mentoring.

In order to ensure employees receive the support and feedback they need to be successful, effective performance management must be a high priority for supervisors/raters on a daily basis. Every supervisor/rater should spend time helping employees be successful.

The following requirements apply to all supervisors and designated raters, including non-classified (exempt) supervisors who supervise classified employees.

- Providing employees with a performance plan that details what the employee is expected to achieve over the next performance cycle.
- Evaluating all state classified employees, in writing, at least annually based on the past year's performance.
- Completing and delivering an interim overall evaluation within 30 days if an employee moves to a position under another supervisor, appointing authority, or department during a performance cycle.
- A final evaluation is not required when an employee retires from employment in the personnel system.

Per Rule 6-5, designated raters shall be evaluated on performance management and evaluation of employees.

Statute provides sanctions for designated supervisors/raters who fail to evaluate employees at least once a year. Sanctions include suspension of at least one work day if the evaluation is not completed by July 1; and demotion to a non-supervisory position if annual performance evaluations are not completed timely for two consecutive years.

Personnel Rule provides sanctions for supervisors/raters who fail to plan and evaluate in accordance with the timelines established in the department's performance management program. Sanctions include a corrective action and ineligibility for merit pay, and, if the individual performance plan or evaluation is not completed within 30 days of the corrective action, disciplinarily suspensions in increments of one work day following the pre-disciplinary meeting.

Sanctions are enforced by appointing authorities (not supervisors/raters) with the assistance of departmental human resource offices. Application of the sanctions provided by statute and personnel rule reinforces the importance of the proper management of the performance management system.

**Reviewer** – Another key role in the success of the performance management system is that of the reviewer. Reviewers are those critical people who help ensure consistency of ratings throughout their department by:

- Ensuring consistency in ratings among those units (section) supervised;
- Providing quality control; and
- Calibrating ratings (not forced distribution).

The following requirements apply to reviewers, including any person employed by the state who is responsible for reviewing performance evaluations of state classified employees. This includes non-classified (exempt) staff, who are designated reviewers for classified employees' performance evaluations:

A reviewer must review and sign the supervisor's/rater's evaluation of an employee. If the supervisor/rater fails to complete an individual performance plan or evaluation, the reviewer is



responsible for completion of the plan or evaluation. If the reviewer fails to complete the plan or evaluation, the reviewer's supervisor is responsible. If a rating is not given, the overall evaluation shall be satisfactory until a final rating is completed.

## **PERFORMANCE MANAGEMENT PROGRAMS**

All departments are required to develop and publish departmental performance management programs. This program is the classified employee and supervisory guide for performance management with the State of Colorado and provides specific departmental guidelines and requirements to abide by. All departmental performance management programs must be approved by the State Personnel Director before implementation.

A detailed description of the mandatory components of department performance management programs is provided in Chapter 6 of the State Personnel Rules. The following components must be addressed:

- mandatory training for all raters;
- statewide uniform core competencies;
- a performance evaluation form;
- identification of the standard Statewide performance rating cycle;
- a requirement for a planning meeting with the employee;
- a requirement for coaching and feedback during the performance cycle (including at least one documented performance review);
- identification of whether evaluations are numerical and/or qualitative;
- inclusion of the definitions of the standard performance ratings;
- prohibition of quotas for the number of employees allowed to receive any of the performance ratings
- establishment of an accountability component to ensure compliance with the performance management system and the department's program;
- identification of sanctions to be imposed for supervisors/raters for failure to comply; and
- a description of the department's review process to monitor the quality and consistency of performance ratings within the department before the final rating is provided to employees.

The mandatory core competencies are communication, interpersonal skills, customer service, accountability, and job knowledge. Examples of performance objectives for these statewide core competencies can be found on the "[Required Core Competencies](#)" document on the Department of Personnel and Administration (DPA)/Division of Human Resources (DHR) website.

## **PERFORMANCE MANAGEMENT DISPUTE RESOLUTION**

All matters related to the performance management system are under the jurisdiction of the State Personnel Director. The State Personnel Director has delegated the final decision making authority relative to performance management to the Director of the Division of Human Resources within DPA. Chapter 8 of the State Personnel Rules (8-83 through 8-89) details the performance dispute resolution process. The State Personnel Board has jurisdiction over allegations of discrimination related to performance management and over a final grievance decision associated with a corrective action arising from a final overall evaluation.



The performance management dispute resolution process is an open, impartial process that is not a grievance or appeal. Attempting informal resolution before initiating the dispute resolution process is strongly encouraged. The performance management dispute resolution process is identified, in detail, in each departmental performance management program.

The scope of authority of individuals making final decisions throughout the dispute resolution process is limited to reviewing the facts surrounding the current action, within the limits set forth in the department's performance management program.

Retaliation against any person involved in the performance management dispute resolution process is prohibited.

In the event that an employee with a pending performance management dispute separates from the state personnel system, the dispute is dismissed.

The following matters related to performance management **are disputable**:

- The individual final overall performance evaluation, including lack of a final overall evaluation; and
- The application of a department's performance management program to the individual employee's final overall evaluation

The following matters related to performance management **are not disputable**:

- The content of a department's performance management program;
- Matters related to funds appropriated for merit pay (including full payment); and
- The performance evaluations and merit pay of other employees.

Only the issue(s) originally presented in writing by the employee can be considered during the dispute resolution process.

Departmental performance management programs must identify the dispute resolution process, and the process must be communicated to all employees. The process must identify time limits and the procedure(s) for filing, who will make decisions regarding the issue(s), and time limits for issuing the final written department decision. The departmental internal decision on issues involving an individual performance plan or evaluation concludes at the internal stage and no further recourse is available.

If the issue(s) raised by an employee involve the application of the department's performance management program, and those issues are not resolved within the department, the employee may file a written request for review by the State Personnel Director. The request must be filed within five working days of the department's final decision. The request for external review must include a copy of the original issue(s) submitted in writing and the department's internal final decision. The State Personnel Director's decision, which must be issued within 30 days, is final and binding within 30 days. Note that the State Personnel Director cannot substitute his judgment for that of the rater, reviewer, or the department's dispute resolution decision maker.

## **ANNUAL REPORTING**

Statute requires the State Personnel Director to monitor compliance with the requirements of the performance management system and to annually report such findings to the Joint Budget Committee of the General Assembly. The report includes percentage of supervisory compliance, supervisory suspensions or demotions for non-compliance, dollars appropriated for performance awards, dollars awarded to employees for performance awards, and dollars awarded for each performance category.

Each department head is required to report the specified information to the State Personnel Director by the specified deadline. Accordingly, all departments and institutions of higher education must either enter their performance ratings directly into the payroll system or send their file to transfer data to payroll. Specific instructions on recording performance data will be provided by DHR on an annual basis.

## **FREQUENTLY ASKED QUESTIONS**

- Q1. What if an employee is hired on or after March 1, does the supervisor have to complete a final overall performance evaluation?
- A1. Unless otherwise noted in your departments Performance Management Program, for those employees hired 30 days or less from the end of the performance rating cycle, completion of a final overall performance evaluation for the current rating cycle is not required. The employee's final overall rating is determined to be satisfactory (level 2).
- Q2. If an employee moves to a position under another appointing authority or department or a supervisory change is made during a performance cycle, an interim evaluation is to be completed and delivered to the new appointing authority or department within 30 days of the effective date of the move or change. What if the previous supervisor is no longer present to conduct the interim evaluation?
- A2. If a rater fails to complete an interim evaluation the reviewer is responsible for completion. If the reviewer fails to complete the interim evaluation, the reviewer's supervisor is responsible. If no interim evaluation is given, the employee is determined to be performing satisfactorily.
- Q3. Can electronic signature be used on the performance evaluation form?
- A3. Yes, if your department has the electronic capability and it has been approved as a departmental practice.
- Q4. If an employee disagrees with a final overall performance evaluation rating, can the employee prepare a rebuttal?
- A4. Yes, an employee may submit a rebuttal to the final overall performance evaluation, which must be attached to the final overall performance evaluation form and submitted to

the department's Human Resources office. This does not change the final overall performance evaluation or rating.


- Q5. Can the final overall performance rating and/or numerical score be changed once the form is signed?
- A5. Yes, this may occur based on an internal department dispute resolution decision. The employee and supervisor should initial this change on the evaluation form.
- Q6. If an employee retires from the state personnel system, is it required that the supervisor conduct a final overall performance evaluation?
- A6. No, a final overall performance evaluation is not required for employees who retire from or otherwise leave the state personnel system.
- Q7. Can a department change the definitions of the performance ratings, level 1, level 2, and level 3?
- A7. The State Personnel Director has published standard definitions for the three performance ratings. Departments may further define the levels in relation to mission and operational needs providing that such detail falls within the required standard definitions.
- Q8. As a rater, what should be done if I'm being asked to change the ratings for my unit employees?
- A8. Reviewers are responsible for monitoring the quality and consistency of performance ratings within the department before final overall ratings are provided to employees. If a rater is being asked to change ratings for a unit, the request should be based on concerns regarding the quality and consistency of performance ratings applied. It is a violation of statute to establish quotas for the number of employees allowed to receive any of the performance ratings. If this is happening, talk with the department Human Resources office immediately.
- Q9. How are supervisors and raters held accountable for implementing the performance management system (planning, coaching, evaluating employees)?
- A9. Designated raters are evaluated on their performance management and evaluation of employees. Typically, this is achieved by a specific individual performance objective being added to the supervisors' performance plan for the performance rating cycle. In addition there are sanctions that may be applied to supervisors who fail or are late in conducting planning and evaluation of their employees.
- Q10. Do all departments have to participate in the annual reporting process, even if utilizing other payroll systems?

- A10. Yes, per statute and rule all departments including general government and institutions of higher education are required to report supervisory compliance and performance ratings for all state personnel system employees.
- Q11. If an employee separates from the state personnel system, while a performance dispute is in process, does a department need to issue an internal department decision?
- A11. No, in the event that an employee with a pending dispute separates from the state personnel system, the dispute is dismissed.
- Q12. If an employee separates from the state personnel system, does the rater need to issue a final performance evaluation prior to the separation?
- A12. No it is not required by rule; however it is strongly encouraged as best practice to finalize an evaluation prior to an employee separating from the state personnel system so there is a record of performance.
- Q13. If an employee is on extended leave, does a final evaluation have to be completed?
- A13. Yes, rating must be issued in accordance with the departments performance management program.
- Q14. Are performance evaluations required for temporary employees?
- A14. No, performance evaluations are not required for temporary employees.

Every attempt is made to keep this technical guidance updated. For additional information, refer to the *State Personnel Board Rules and Director's Administrative Procedures* (rules) or contact your department human resources office. Subsequent revisions to rule or law could cause conflicts in this information. In such a situation, the law and rule are the official source upon which to base a ruling or interpretation. This document is a guide, not a contract or legal advice.





**TECHNICAL GUIDANCE  
DHR APPROVAL FOR PUBLICATION**

This signature page is required for new technical guidance or when major policy revisions are made resulting from changes in law, rule, directives, or official interpretation. As of March 1, 2009, new signatures are not required for non-substantive revisions resulting from correction of errors (e.g., typographical or grammatical), or updating factual information (e.g., minimum wage, statute or rule cites) or illustrative samples. Readers should always check the date on the first page to ensure they are using the most current version.

Technical Guide Topic:	<b>Performance Management</b>		
Effective Date:	<b>June 12, 2015</b>		
Date of Superseded Version:	<b>March 17, 2014</b>		
State Chief Human Resources Officer:	<i>il</i>  <i>gm</i>	Date:	<i>6/5/15</i>

## Version Control Table

Version	Date approved	Author(s)
<b>1.0</b>	2014-03-17	Consulting Services
Last version published.		
<b>2.0</b>	2015-06-12	S. McCabe
<p>This technical guidance was updated due to audit recommendations from the State Auditor's report that was provided in June 2014. One of the recommendations was for DHR to conduct periodic compliance spot checks to verify data agencies record into the payroll system. Recommendations from the compliance spot check that was completed in March 2015 included; defining the reported performance evaluation date as the employee signature date and defining a uniform latest appraisal deadline. These recommendations (along with other minor edits) have been addressed in this Technical Guidance update.</p> <p>Cross referenced with: C.R.S. 24-50-104; C.R.S 24-50-125; Rules 6-3 through 6-7 of State Personnel Rules; Rules 8-83 through 8-89 of State Personnel Rules.</p>		



## Tab 5 – Performance Planning Checklist

# Performance Planning Checklist

Name of Employee: \_\_\_\_\_ Date/Time of Meeting \_\_\_\_\_ / \_\_\_\_\_

*This checklist has been designed to help you with the preparing for the performance planning meeting with the employee. It is broken into three sections Before the Meeting, During the Meeting and Follow-up.*

## Before the Meeting

*Before you meet with the employee, you need to prepare the following to give to the employee.*

- Book a meeting room if required
- Send meeting request to employee or confirm meeting
- CDOT Mission and Goal Poster
- Unit's Work Plan for the current Performance Plan Year
- Print Employee's PDQ (to request a copy email dot\_workforce\_staffing@state.co.us and provide your relationship to the employee and the reason you need the PDQ)
- Any goals you would like to suggest

## During the Meeting

*During the meeting you need to discuss the following topics with the employee.*

- Take a moment to connect with the employee and identify what is important to them
- Provide the employee with the 3 Peaks Poster and explain how the employee contributes
- Provide the employee with the Unit's Work Plan and discuss the how the employee contributes
- Provide the Unit Work Plan and explain what is expected of the employee and explain your role as the supervisor
- Explain to the employee be evaluated on Accountability/Credibility, Job Knowledge/Performance, Communication/Interpersonal Skills, Customer Service and Safety (Workleading/Supervision only if applicable)
- Discuss with the employee the need to create one or two Performance goals using the S.M.A.R.T (Specific, Measurable, Achievable, Relevant and Time bound) goal format.
- Explain to the employee that after you put the goals into the system they need to acknowledge the goals by April 8<sup>th</sup>
- Identify Goal 1:
  
- Identify Goal 2 (optional):

## Follow-up

*After the meeting there are a couple of items you need to complete.*

- Enter the goals for the employee into the system. Click [here](#) if you need help
- Follow-up on any of the items you mentioned you would provide to the employee
- Determine how ongoing communication will occur (team meetings, walk arounds, one-on-ones, targeted performance discussions, etc.)
- How significant events, accomplishments and milestones will be tracked and documented for the rating period

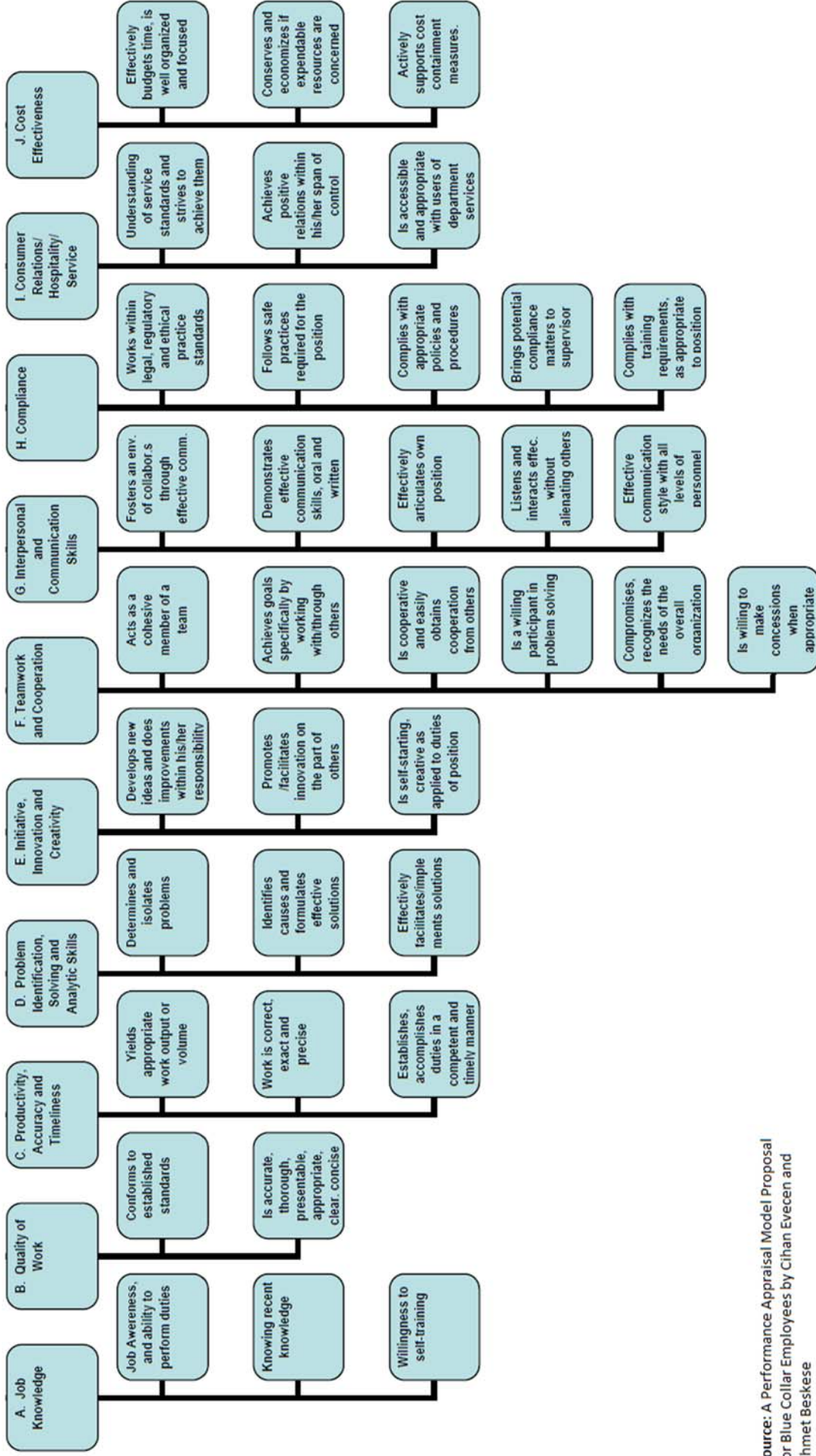








Tab 6 – Chart of Goals by Knowledge  
Area



# Chart of Goals by Knowledge Area



Source: A Performance Appraisal Model Proposal for Blue Collar Employees by Cihan Evecen and Ahmet Beskese



## Tab 7 – Midyear Performance Review Checklist

# Midyear Performance Review Checklist

Name of Employee: \_\_\_\_\_ Date/Time of Meeting \_\_\_\_\_ / \_\_\_\_\_

*This checklist has been designed to help you with the preparing for the Midyear performance review meeting with the employee. It is broken into three sections Before the Meeting, During the Meeting and Follow-up.*

## Before the Meeting

*Before you meet with the employee, you need to prepare the following:*

- Book a meeting room if required
- Send meeting request to employee or confirm meeting
- Print Unit's Work Plan highlighting any changes that have occurred between the performance planning meeting and the midyear review
- Print employee's PDQ only if there have been changes otherwise use for review
- Any goals you would like to suggest for the next performance planning meeting
- Gather all supporting documentation for your discussion with the employee (notes about performance from your notebook, emails, etc) to provide specific examples of behaviors
- Enter the rating of the employee and enter specific examples for each goal and competency area supporting your evaluation of the employee. Provide examples, even if the employee excelled so they know what they are doing right. [Click here for help.](#)

## During the Meeting





*During the meeting you need to discuss the following topics with the employee.*

- Take a moment to connect with the employee and identify what is important to them
- Provide the Unit Work Plan and explain any changes that have occurred since your last review with employee and explain how the employee work contributes
- Provide the employee with their ratings on each of the competency areas and provide specific examples of how the employee performed for Accountability/Credibility, Job Knowledge/Performance, Communication/Interpersonal Skills, Customer Service and Safety and performance goals
- Discuss with the employee the need to create one or two Performance goals using the S.M.A.R.T (Specific, Measurable, Achievable, Relevant and Time bound) goal format.
- Provide the employee with specific examples, based on your notes, of how they are doing towards their goals
- Explain to the employee they need to acknowledge and provide feedback on the goals and ratings by 10/17
- Identify Goal 1:
  
- Identify Goal 2 (optional):

## Follow-up

*After the meeting there are a couple of items you need to complete.*

- Enter the goals for the employee into the system, if you have not already done so. [Click here](#) if you need help
- Follow-up on any of the items you mentioned you would provide to the employee
- Determine how ongoing communication will occur (team meetings, walk arounds, one-on-ones, targeted performance discussions, etc.)
- How significant events, accomplishments and milestones will be tracked and documented for the rating period



# Tab 8 – Final Performance Review Checklist

# Final Performance Review Checklist

Name of Employee: \_\_\_\_\_ Date/Time of Meeting \_\_\_\_\_ / \_\_\_\_\_

*This checklist has been designed to help you with the preparing for the Final performance review meeting with the employee. It is broken into three sections Before the Meeting, During the Meeting and Follow-up.*

## Before the Meeting

*Before you meet with the employee, you need to prepare the following to give to the employee.*

- Book a meeting room if required
- Send meeting request to employee or confirm meeting
- Print Unit's Work Plan highlighting any changes that have occurred between the midyear performance review and the final performance review
- Print employee's PDQ only if there have been changes otherwise use for review
- Gather all supporting documentation for your discussion with the employee (notes about performance from your notebook, emails, etc) to provide specific examples of behaviors
- Write specific examples for each goal and competency area supporting your evaluation of the employee. Provide examples, even if the employee excelled so they know what they are doing right Click [here](#) for help

## During the Meeting

*During the meeting you need to discuss the following topics with the employee.*

- Take a moment to connect with the employee and identify what is important to them
- Provide the Unit Work Plan and explain any changes that have occurred since your last review with employee and explain how the employee work contributes
- Provide the employee with feedback on each of the competency areas and performance goals and provide specific examples of how the employee performed for Accountability/Credibility, Job Knowledge/Performance, Communication/Interpersonal Skills, Customer Service and Safety and performance goals
- Provide the employee with specific examples, based on your notes, of how they performed on their goals
- Explain that the 2<sup>nd</sup> level reviewer is looking at the goals and their final rating will be made available by April 15th
- Explain to the employee that after you put the goals into the system they need to sign by April 22

## Follow-up

*After the meeting there are a couple of items you need to complete.*

- Follow-up on any of the items you mentioned you would provide to the employee
- Determine effectiveness of ongoing communication that has occurred during the performance plan year and follow up on suggestions for modifications



## Tab 9 – Giving Feedback

## GIVING CONSTRUCTIVE FEEDBACK

Feedback is an essential element for everyone in an organization's workforce. Giving feedback is a task you perform again and again as a manager or supervisor, letting people know where they are and where to go next in terms of expectations and goals - yours, their own, and the organizations.

Feedback is a useful tool for indicating when things are going in the right direction or for redirecting problem performance. Your objective in giving feedback is to provide guidance by supplying information in a useful manner, either to support effective behavior, or to guide someone back on track toward successful performance.

Some situations which require giving constructive feedback include:

- Ongoing performance discussions
- Providing specific performance pointers
- Following up on coaching discussions
- Giving corrective guidance
- Letting someone know the consequences of their behavior

Some clues that constructive feedback is needed are when:

- Someone asks for your opinion about how they are doing
- Unresolved problems persist
- Errors occur again and again
- An employee's performance doesn't meet expectations
- A peer's work habits disturb you

## SIX WAYS TO MAKE FEEDBACK CONSTRUCTIVE

Part of being an effective manager or supervisor is knowing what feedback to give. The trick is learning how to give it constructively so that it has some value. Constructive feedback is a tool that is used to build things up, not break things down. It lets the other person know that you are on their side.

**1. If you can't think of a constructive purpose for giving feedback, don't give it at all.**

**2. Focus on description rather than judgement.**

Describing behavior is a way of reporting what has occurred, while judging behavior is an evaluation of what has occurred in terms of "right or wrong", or "good or bad". By avoiding evaluative language, you reduce the need for the individual to respond defensively.

For example: "You demonstrate a high degree of confidence when you answer customer questions about registration procedures, rather than, "Your communication skills are good."

**3. Focus on observation rather than inference.**

Observations refer to what you can see or hear about an individual's behavior, while inferences refer to the assumptions and interpretations you make from what you see or hear. Focus on what the person did and your reaction.

For example: "When you gave that student the Financial Aid form, you tossed it across the counter," rather than describe what you assume to be the person's motivation, "I suppose you give all forms out that way!"



#### **4. Focus on behavior rather than the person**

Refer to what an individual does rather than on what you imagine she or he is. To focus on behavior, use adverbs, which describe action, rather than adjectives, which describe qualities.

For example: "You talked considerably during the staff meeting, which prevented me from getting to some of the main points," rather than "You talk too much."

#### **5. Provide a balance of positive and negative feedback**

If you consistently give only positive or negative feedback, people will distrust the feedback and it will become useless.

#### **6. Be aware of feedback overload.**

Select two or three important points you want to make and offer feedback about those points. If you overload an individual with feedback, she or he may become confused about what needs to be improved or changed.

For example: "The number of applicants and the time it takes you to enter them are both within the expected ranges. The number of keying errors you are currently making is higher than expected."

Giving feedback constructively benefits everyone. You, as the manager or supervisor, use the on-going exchange of information as a way of getting to know your people and providing them with valuable guidance in their work. The employee, manager, supervisor, or peer receives data that makes that makes her or his job go easier. The organization gains in improved productivity of its workforce.

### **THE SIX STEP METHOD FOR GIVING CONSTRUCTIVE FEEDBACK**

#### **Step 1: State the constructive purpose of your feedback.**

State your purpose briefly by indicating what you'd like to cover and why it's important. If you are *initiating* feedback, this focus keeps the other person from having to guess what you want to talk about. If the other person has *requested* feedback, a focusing statement will make sure that you direct your feedback toward what the person needs.

For example: "I have a concern about."  
"I feel I need to let you know."  
"I want to discuss."  
"I have some thoughts about."

#### **Step 2: Describe specifically what you have observed.**

Have a certain event or action in mind and be able to say when and where it happened, who was involved, and what the results were. Stick to what you personally observed and don't try to speak for others. Avoid talking vaguely about what the person "always" or "usually" does.

For example: "Yesterday afternoon, when you were speaking with Mrs. Sanchez, I noticed that you kept raising your voice."

#### **Step 3: Describe your reactions.**

Explain the consequences of the other person's behavior and how you feel about it. Give examples of how you and others are affected. When you describe your reactions or the consequences of the observed behaviors, the other person can better appreciate the impact their actions are having on others and on the organization or team as a whole.

For example: "The staff member looked embarrassed and I felt uncomfortable about seeing the episode." "Shouting at our students is not acceptable behavior in this department."

#### **Step 4: Give the other person an opportunity to respond.**

Remain silent and meet the other person's eye, indicating that you are waiting for an answer. If the person hesitates to respond, ask an open-ended question.

For example: "What do you think?"  
"What is your view of this situation?"  
"What are your reactions to this?"  
"Tell me, what are your thoughts?"

#### **Step 5: Offer specific suggestions.**

Whenever possible, make your suggestions helpful by including practical, feasible examples. Offering suggestions shows that you have thought past your evaluations and moved to how to improve the situation. Even if people are working up to expected standards, they often benefit from ideas that could help them to perform better.

If your feedback was offered supportively or neutrally, in the "for your information" mode, or depending on the situation's circumstances, suggestions may not be appropriate. Use your common sense and offer an idea if you think the other person will find it useful. Don't drum up a suggestion for improvement just for the sake of it.

For example: "Jennifer, I sometimes write myself notes or put up signs to remind myself to do something."  
"Jill, rather than telling Ed that you're not interested in all the details, you might try asking him specific questions about the information you are most interested in."

#### **Step 6: Summarize and express your support**





Review the major points you discussed. Summarize the Action items, not the negative points of the other person's behavior. If you have given neutral feedback, emphasize the main points you have wanted to convey. For corrective feedback, stress the main things you've discussed that the person could do differently. End on a positive note by communicating confidence in the person's ability to improve the situation.

For example: "As I said, the way the group has figured out how to cover phone calls has really lessened the number of phone messages to be returned. You've really followed through on a tough problem. Please keep taking the initiative on problems like that."

By summarizing, you can avoid misunderstandings and check to make sure that your communication is clean. This summary is an opportunity to show your support for the other person—a way to conclude even a negative feedback situation on a positive note.

For example: "At least we understand each other better since we've talked. I'll do what I can to make sure your priorities are factored into the schedule, and I'll expect you to come straight to me if the schedule is a problem."

*Note: Information on Recognizing Good Performance, Characteristics of Good Recognition, Coaching: An Approach to Solving Performance Problems, and Giving Constructive Feedback provided courtesy of Enrollment Services Training, Staff Development and the Work-Study Office, Boston University.*



## Tab 10 – Attitude

# Attitude

By  
Charles Swindoll

"The longer I live, the more I realize the impact of attitude on life.

Attitude, to me, is more important than facts.

It is more important than the past,

than education, than money,

than circumstances, than failures, than successes,

than what other people think, say or do.

It is more important than appearance, giftedness or skill.

It will make or break a company... a church... a home.

The remarkable thing is we have a choice

every day regarding the attitude

we embrace for that day.

We cannot change our past...

we cannot change the fact that people

will act in a certain way.

We cannot change the inevitable.

The only thing we can do is play the one string we have,

and that is our attitude...

I am convinced that life is 10% what happens to me

and 90% how I react to it.

And so it is with you... we are in charge of our Attitudes"



## Tab 11 – Silencing Common Gripes

## SILENCING COMMON GRIPES

“My supervisor doesn’t respect me.”

- Get to know employees as people.
- Treat like adults and respect their privacy.
- Recognize that employees have lives outside work and try to accommodate

“Nobody appreciates my hard work.”

- Provide regular feedback and recognition.
- Mix an equal number of thank you’s and good job with critique
- Ask employees for ideas and use them
- Acknowledge immediately when performing well – don’t wait until review

“There are different rules for different people.”

- Focus on being fair and consistent with workload and appreciation
- Be aware of legal risks when making work decisions based on race, age, gender

“My performance reviews are useless.”

- Provide continuous feedback. Nothing should be a surprise.
- Involve employees in setting goals
- Adapt a development mindset
- Don’t focus on character traits

“My boss micromanages my work.”

- Delegate when possible.
- Allow employees to have more say in how they do their work.

“We have too many meetings.”

- Institute a time limit on meetings,
- Use a meeting facilitator.

“I hate coming to work.”

- Ask employees specifically what would improve the outlook.
- Consider how you can enrich jobs to motivate.

[www.BusinessManagementDaily.com](http://www.BusinessManagementDaily.com)





## Tab 12 – Performance Log

# Performance Log

***Confidential***

*If found please return to:*





# Use of the Performance Log

The Performance Log is designed to allow you to keep track of the performance of your employees. Please keep the following in mind when using this log:

- It is designed to track both positive and negative behavior
- It is designed to be an objective log of your observations please do not include any comments that are opinionated, derogatory or you would not want read by someone else
- It should not be used to track daily behavior

**Name of Employee:** John Kudo (Example of Kudo)

Date/Time	Description of Event (Who was involved, What happened)	Oral Reminder /Kudo/ Written
09/18/16 9:00am	Today I received an email from a citizen who had their wallet returned by John who found it on Monday 09/17/16. I passed the email on to John and talked with him to let him know this is in keeping with the CDOT value of integrity.	Kudo  Observed by: Fred Smyth

**Name of Employee:** Mark Reminder (Example of Oral Reminder)

Date/Time	Description of Event (Who was involved, What happened)	Oral Reminder /Kudo/ Written
10/10/16 10:15am	Mark is scheduled to arrive into work at 10:00am. He was late by 15 minutes. He told me that he forgot to put gas in his car and there was a long line. I reminded him it is important to be to work on time.	Oral Reminder  Observed by: Jane Dendt

**Name of Employee:**

Date/Time	Description of Event (Who was involved, What happened)	Oral Reminder /Kudo/ Written
		Observed by:

**Name of Employee:**

Date/Time	Description of Event (Who was involved, What happened)	Oral Reminder /Kudo/ Written
		Observed by:

**Name of Employee:**

Date/Time	Description of Event (Who was involved, What happened)	Oral Reminder /Kudo/ Written
		Observed by:

**Name of Employee:**

Date/Time	Description of Event (Who was involved, What happened)	Oral Reminder /Kudo/ Written
		Observed by:

**Name of Employee:**

Date/Time	Description of Event (Who was involved, What happened)	Oral Reminder /Kudo/ Written
		Observed by:

**Name of Employee:**

Date/Time	Description of Event (Who was involved, What happened)	Oral Reminder /Kudo/ Written
		Observed by:

**Name of Employee:**

Date/Time	Description of Event (Who was involved, What happened)	Oral Reminder /Kudo/ Written
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Name of Employee:

Date/Time	Description of Event (Who was involved, What happened)	Oral Reminder /Kudo/ Written
		Observed by:

Name of Employee:

Date/Time	Description of Event (Who was involved, What happened)	Oral Reminder /Kudo/ Written
		Observed by:



## Tab 13 – Employee Assessment



**EMPLOYEE ASSESSMENT**

EMPLOYEE (HIGH CONTRIBUTOR):					
WORK DUTIES	1	2	3	4	5
Documentation					
Diagnosis and improve employee performance					
Conducting performance reviews					
Coach and provide feedback to employees					
Developing top performers					
Dealing with negative attitudes					
Managing conflict					
Holding self accountable					
Setting expectations					
Connection of role to the mission and values					

<Turn Over for Low Contributor>

Legend

- 1 = Knows about
- 2 = Knows how
- 3 = Demonstrates task
- 4 = Accomplishes daily
- 5 = Teaches others





**EMPLOYEE ASSESSMENT (PAGE 2)**

EMPLOYEE (LOW CONTRIBUTOR):					
WORK DUTIES	1	2	3	4	5
Documentation					
Diagnose and improve employee performance					
Conducting performance reviews					
Coach and provide feedback to employees					
Developing top performers					
Dealing with negative attitudes					
Managing conflict					
Holding self accountable					
Setting expectations					
Connection of role to the mission and values					

Legend

- 1 = Knows about
- 2 = Knows how
- 3 = Demonstrates task
- 4 = Accomplishes daily
- 5 = Teaches others







## Tab 14 – Individual Development Plan



### INDIVIDUAL DEVELOPMENT PLAN

<b>Objectives:</b> What do I need to do better?	<b>Actions:</b> What methods will I use?	<b>Success Criteria:</b> How will I measure?
<b>Follow-Up:</b> How did it go and how do we move forward?		

