

# *Performance Management: Not Just the Evaluation*



*Participant Guide*

*Susan Maxfield  
March, 2017*

*Complete*



## Colorado Department of Transportation

# Performance Management: Not Just the Evaluation



### Notes:

This course is designed to help you provide feedback to your employees 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
- Conclusion

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## Training Notes:

### Notes:

This course provides an outline of the actions supervisors and managers need 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 supervisor/manager.
- Section 2 – Explains the role of the supervisor/manager 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 and resolving at the lowest level.
- Conclusion – This section summarizes the course and provides 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 at CDOT and your role
- Create Performance Management goals for employees and set expectations
- Give performance evaluations and provide feedback to the employee
- Describe when to use an Individual Development Plan (IDP) and the Performance Improvement Plan (PIP)
- 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

## 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 you will be shown the course objectives again and will be able to ask questions about anything you do not understand.

## Training Notes:

# Participant Introductions

Please take a moment to share:

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



## Training Notes:

### Notes:

Please take moment to introduce yourself to the other participants in the course and the instructor. When you introduce yourself, include you 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

### 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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### Notes:

Take a moment to turn off, or silence your cell phones. This 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*

### Training Notes:



# 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
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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 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 and Performance Evaluation
- Identify the roles in the Performance Management process

### 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 (not about forms or forcing people to produce).
- **Performance Evaluation** – The process by which an individual's work performance is assessed, evaluated and supported.

### 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?

*The 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:

As outlined in CDOT's Leadership Forum, Performance Management is a tool that helps you, in your leadership role, 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?



- Ongoing communication between you and the Employee
- How employees become **engaged** in their work
- Working with employees to improve their abilities
- Documenting expectations
- Focus on connecting the employee's role to the organization

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## Training Notes:

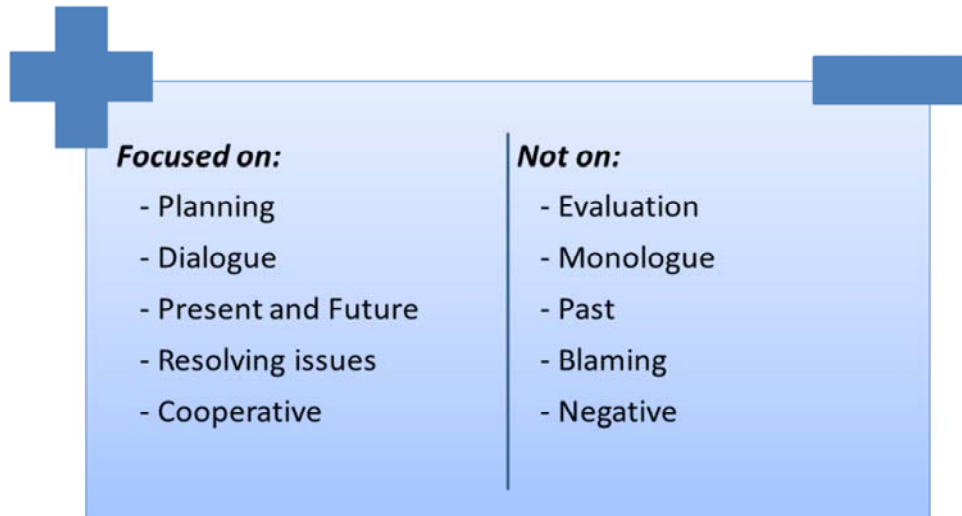
### Notes:

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.**

Performance Management also 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.

All of these parts involve Performance Management and engaging employees in the work, NOT JUST THE EVALUATION.

# Performance Management Focus



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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 01 – Three Peaks Poster**

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 every 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 Implementation Plan](#)
- **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>

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## 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. **Essentially, it is what is documented on the form in SAP.** 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.

# Roles in Performance Management



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## Training Notes:

### Notes:

There are several roles in the Performance Management process.

**Employee** – the teller of the story; the doer of the work task

**Lead Worker** – the boots on the ground; the observer of what happens (this may vary dependent on the occupational group)

**Supervisor** – The reporter of the facts of the story; the scribe of what happened and the guide for what we want to happen

**Reviewer** (2<sup>nd</sup> Level Manager) - The honest broker who puts second set of eyes on the supervisors' record of the facts

**Appointing Authority** – The person empowered to make the final call according to State rules, the one whose signature equals the force of State Law

## Check Your Knowledge

1. What document focuses on past actions of the employee?

.....

2. The \_\_\_\_\_ reviews the supervisor's employee rating and resolved any disputes.



### Training Notes:

Notes:

# Performance Planning

*Performance Management: Not Just the Evaluation*

# Course Agenda

- *Learning Logistics*
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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 and serving as a leader
- Engaging employees in the performance management process
- Describe how to prepare for the performance evaluation
- Understand how to create a S.M.A.R.T. Goal

### Training Notes:

#### Notes:

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- By the end of this section you should be able to perform each of the listed objectives with the support of the training materials.
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# 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
- **Performance Documentation Form** – A form used to document both positive performance and performance that needs improvement

## 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.



# The Leadership 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)
- Coach 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.

# Engaging Employees in the Performance Management Process

## Setting Clear Goals by

- Clearly defining what is expected of the employee
- Ensuring employee has everything they need for success
- Connecting the employee's position to CDOT's success

## Engage Top Performers by:

- Create goals that allow them to teach others
- Provide specific feedback
- Allow them to learn through special assignment

## Engage Unmotivated Employees by:

- Explain why
- Create small changes with a big impact
- Provide specific feedback

## 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.

**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.

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.

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**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.

**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.

Training Notes:

# Communication and Goals



The checklist is titled "Performance Planning Checklist" and includes sections for "Before the Meeting", "During the Meeting", and "Follow-up". It contains various tasks and questions to ensure a thorough performance planning process.

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 02 – Performance Planning Checklists (3)

*Give overview of all checklists here.*

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 Checklists** – The checklists have been created to assist you with covering all of the topics you should be covering during planning, the midyear review and the final meeting and 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 S.M.A.R.T. Goal

*S.M.A.R.T. 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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## 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 software, 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.

## Training Notes:

# Exercise



*When crafting a S.M.A.R.T. Goal:*

- Use concise language
- Keep it relevant to the position/employee
- Be positive

*Using the S.M.A.R.T. Goals Template:*

1. Write out your initial goal
2. Modify your goal based on the S.M.A.R.T. criteria
3. Review and rewrite your goal

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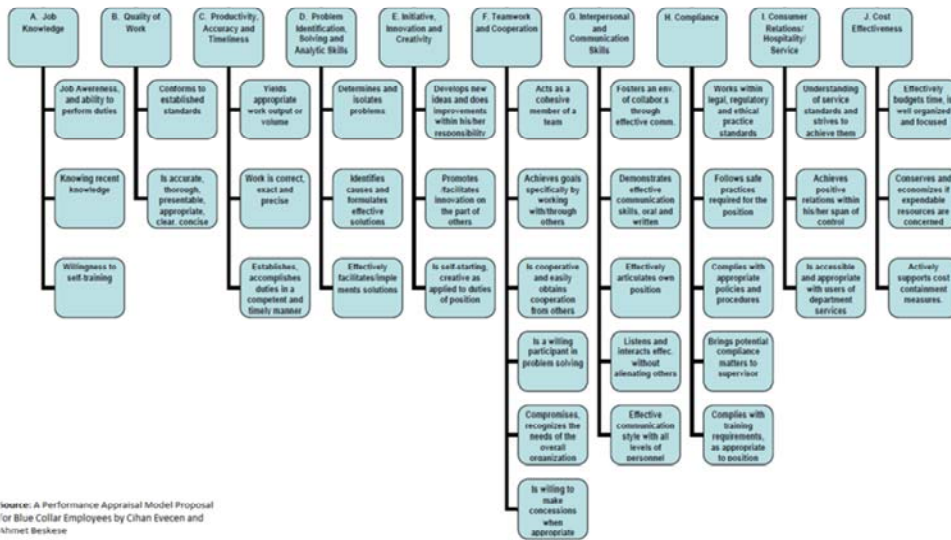
## Training Notes:

Notes:

### **TAB 03 – S.M.A.R.T Goals Template**

1. Take a moment to review the S.M.A.R.T. Goals Template instructions.
2. Write out your initial goal in the space provided.
3. Modify the goal based on steps one through five.
4. Rewrite the goal based on the changes you have made.

# Where do I Start?



Source: A Performance Appraisal Model Proposal for Blue Collar Employees by Cihan Evceen and Ahmet Bekese

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## Training Notes:

Notes:

### Tab 04 – 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 CDOT employees perform. Use the first column to determine the area you want to develop in your employee. For example, if you have an 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.

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.

Search for **PERFORMANCE MANAGEMENT ON THE INTRANET** and the resource list to the left will include Instructional Videos as well as Written Instructions.

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**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=youtube>

**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>

**Training Notes:**



# Documenting Observations

Here are two options to document observations:

## ***The PDF:***

- Desirable and less than desirable behavior
- Not part of formal discipline process
- Exceptional Behavior
- Specific actions by the employee

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

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



## Training Notes:

Notes:

### **Tab 05 – 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.

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.

## Check Your Knowledge

1. What are some key elements to keeping employees engaged during the performance management process?
  
2. S.M.A.R.T is a mnemonic that stands for:



### Training Notes:

Notes:

# Giving Performance Evaluations

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## Section 3 Learning Objectives

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

- Explain the role of the supervisor or manager in conducting the Performance Evaluation
- Describe how to prepare for the performance evaluation meeting
- Describe when to use an Individual Development Plan
- Explain how to provide constructive feedback
- Describe what actions to take if the employee is angry, non-responsive or upset
- Explain how to rate an employee's performance

### Training Notes:

#### Notes:

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## Terms and Concepts



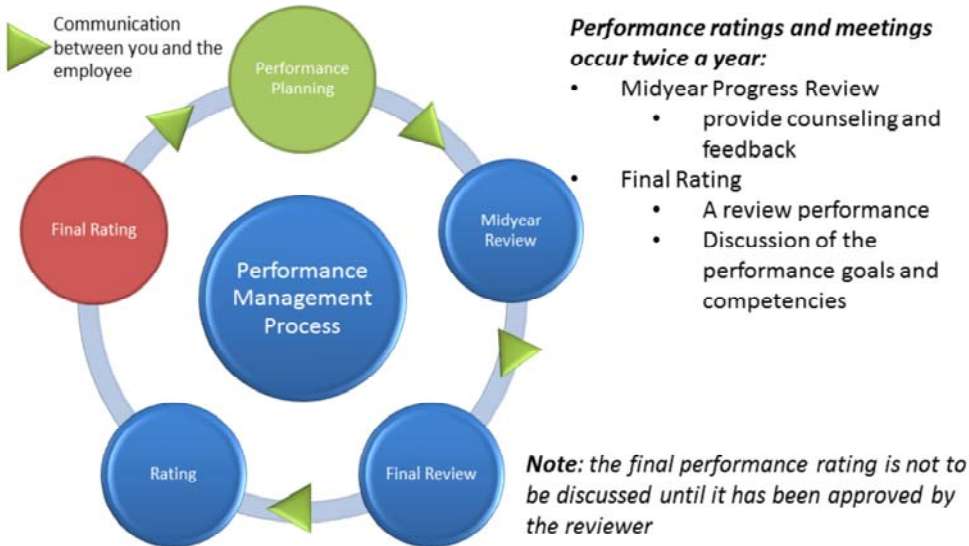
- **Performance Evaluation** – *The process by which an individual's work performance is assessed, evaluated and supported.*
- **Individual Development Plan (IDP)** – The process by which the employee is coached to develop new skills

### 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.

# 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 supervisor 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.

**Continued on next page**

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### **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 reviewer 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 in Performance Management

During the Midyear and Final Performance Review the supervisor:

- 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 02 Performance Planning Checklists (Midyear & Final Review Checklist)**

#### **Role of the supervisor**

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.

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

## 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. The review of the 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.

# Connect with your Employees

*Be approachable*

- Be someone they want to talk to

*Listen to your employees*

- Understand their frame of reference
- Ask good questions

*Communicate with your employee and your supervisor*

- Tell them what's happening or not happening



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## Training Notes:

Notes:

### **Tab 06 - Iceberg of Ignorance**

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 be more aware of when an employee is having an issue. Additionally, you will be told when something is happening, or not working.

# Difference Between Employee Development and Employee Improvement

*Improvement focuses on addressing past behavior, Development is planning for the future.*

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>

## 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.

# Development Plan

When creating an Individual Development Plan:

1. Establish a reason and motivation
  - To promote to the next level
2. Describe needs to be learned
  - Identify the competencies
3. Identify development actions
4. Implement the plan and follow-up
  - Employee owns the plan
  - Supervisors mentors and supports

## Training Notes:

Notes:

### **Tab 07 - 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 develop 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.

# Providing Feedback

- Actionable
- Balanced
- Constructive



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## Training Notes:

Notes:

### Tab 08 - 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:

Feedback is the 'A' in Coach: A in COACH – Add your Views

# 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>

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## Training Notes:

Notes:

### **Tab 09 – 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.

**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 a example and depersonalize it. If Mark were to bring the topic of David up then you should be prepared to redirect the conversation about Marks behavior and not David's.

**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.

## 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

### 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



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

1. If you perform work as expected, with occasional exceptional work, you will receive a \_\_\_\_\_ rating.
2. Your feedback should be based on the behavior and not the \_\_\_\_\_.
3. What are the ABC components of constructive feedback?



### 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*
- **Section 4 – Ongoing Communication**
- Conclusion

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## Training Notes:

### Notes:

This course provides an outline of the actions the supervisor or manager 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 supervisor/manager.
- Section 2 – Explains the role of the supervisor/manager 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 and resolving at the lowest level.**
- 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 types of Ongoing Communication required (striking the balance, not all the same)
- Describe ways to be effective in communications
- Identify when you may have a performance issue
- Recognize when to use a Performance Improvement Plan (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



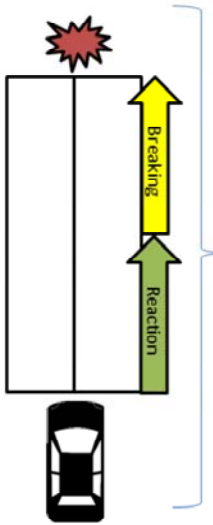
- **Ongoing Communication** – The process where there is continuous and ongoing communication between the employee and their supervisor throughout the performance plan year
- **Performance Improvement Plan (PIP)** – The process by which the Supervisor works with the employee to correct performance and refocus on employee success. 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.

# Ongoing Communication and Performance



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

- Weekly meetings
- One-on-one communication
- Coaching
- 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 adjustments 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\*

\* Requires a **new** performance plan

## 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.

## Training Notes:

# 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 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.

# How to be Effective

## **Recognizing Employee Achievement:**

- If you see something say something
- Tie it to CDOT Values
- Document it!
- Use recognition programs

## **Providing Clear Directions:**

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



## **Make Time to Meet with Employees:**

- Understand the feedback requirements
- Have questions to ask the employee ready
- Understand what is communication for your employee

## Training Notes:

### Notes:

#### Recognition Types:

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

**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.

**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.

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**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.

**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:

# 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:

### **Tab 10 - Warning Signs of Bad Performance (with Tips to Change)**

*Review sheet and go over and review tips here.*

# Performance Improvement

The **PERFORMANCE IMPROVEMENT PLAN (PIP)** is:

- Created if an employee receives a needs improvement (rating of 1) 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
- Active for a period of 90 days
- Must be signed by the employee

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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.

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.

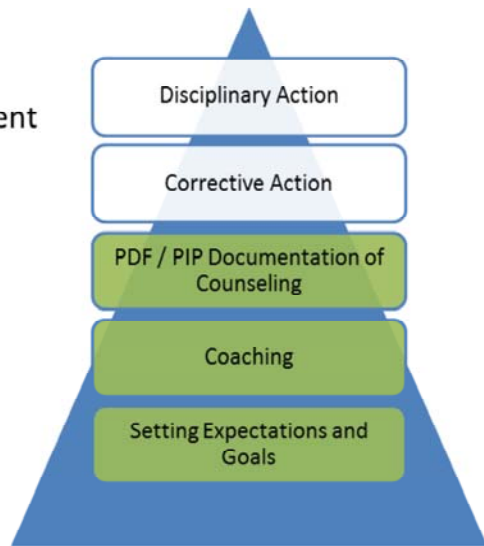
**Specific** – When you are counseling an employee tell them specifically what they have done right. For example instead of saying “great job this week” you could say, “I noticed that this week you took an extra tool with you, this made a difference in completing the project on time. Great job on thinking 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.

## Training Notes:

# Performance Management and Progressive Discipline

Performance issues can be addressed through:

- Performance management
- 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 and progressive discipline is the process where you work with an employee to develop skills 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 will 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 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.

# Check Your Knowledge

1. What can prevent a supervisor from being effective?
  
2. When you recognize you may need to address a performance issue that does



## 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*
- **Conclusion**

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## Training Notes:

### Notes:

This course provides an outline of the actions the supervisor or manager 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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- 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 and resolving at the lowest level.
- **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
- Give performance evaluations and provide feedback to the employee
- Describe when to use an Individual Development Plan (IDP) and the Performance Improvement Plan (PIP)
- 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

## 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 Pose great questions at the meeting to spur deep thinking
- Acknowledge mistakes
- Inspire/motivate others in difficult times

### Training Notes:

#### Notes:

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](mailto:Susan.Maxfield@state.co.us)
- **Beverly Wyatt: HR Business Partner**
  - Email: [Beverly.Wyatt@state.co.us](mailto:Beverly.Wyatt@state.co.us)
- Performance Management page on Intranet
  - Instructional Video and Written Instructions
  - Milestone Dates for Performance Plan Year
  - Performance Management Tools page
  - Performance FAQ page



## 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

## Training Notes:

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

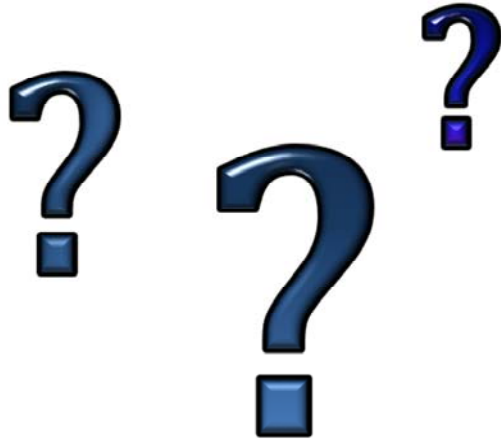
Explain when the supervisor would need to contact Employee Relations

## 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.

# Questions?



Colorado Department of Transportation

Slide 71

## 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 – Three Peaks Poster



# Purpose

To save lives and make lives better by providing freedom, connection and experience through travel.



2017

# Values

Safety, people, integrity, customer service, excellence and respect are at the heart of all that we do.

# Summit

The best DOT in the country for all customers by focusing on our people, leading-edge technology and a healthy multi-modal system.

# Peaks

Technology

People

System

Help Our People with Technology

Improve Travel Experience with Technology

Develop Leaders

Asset Condition

Improve Customer Experience

Big Data

Internal Customer Focus

# Base Camps

# Trails

Paperless CDOT

Turning Data Into Intelligence

3-D Modeling

Underpaid Positions

Workforce of the Future

Risk and Resiliency Program

Winter Operations Readiness

Expansion of Fiber Program

RoadX

Compensation & Benefits

Hiring & Reallocation Process

Maintenance Optimization

Software Masterworks

Situational Awareness

Employee Recognition

Leadership Development

Striping Improvement

Contracting SRM/IGA Process

Unmanned Aerial Systems

Maximum Project Delivery—Central 70, Key RAMP Projects, SPI

## Tab 2 – Performance Planning Checklists

# 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

# 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

# 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

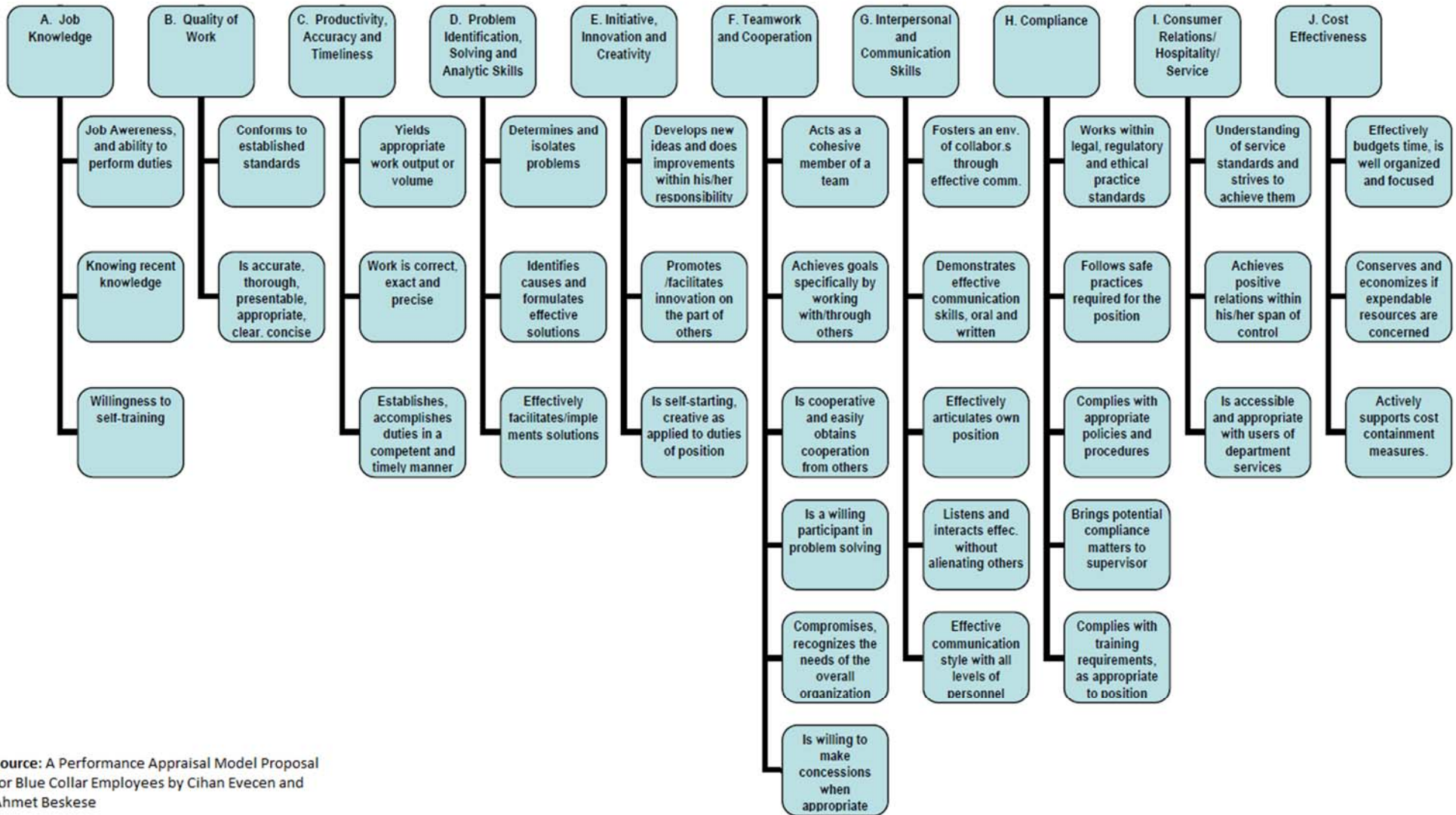
## Follow-up

*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 3 – 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 4 – S.M.A.R.T Goal Template



## S.M.A.R.T. Goals Template

*Crafting S.M.A.R.T. Goals is designed to help identify if what you want to achieve is realistic. When writing S.M.A.R.T. Goals use concise language, but include relevant information. These are designed to achieve success, so be positive when answering the questions.*

**Initial Goal** *(Write the goal you have in mind):*

1. **Specific** *(What needs to be accomplished? Who needs to be included? When does it have to be done? Why is this a goal?)*
2. **Measurable** *(How can you measure progress and know if you've successfully met the goal?):*
3. **Achievable** *(Are skills there to achieve the goal? If not, can you obtain them? What is the motivation for this goal? Is the amount of effort required on par with what the goal will achieve?):*
4. **Relevant** *(Why now? Is it aligned with overall objectives?):*
5. **Time-bound** *(What's the deadline and is it realistic?):*

**S.M.A.R.T. Goal** *(Review what you have written, and craft a new goal statement based on what the answers to the questions above have revealed):*

## Tab 5 – 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
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**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
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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:

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		Observed by:

Name of Employee:

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

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		Observed by:

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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:

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		Observed by:

Name of Employee:

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

Name of Employee:

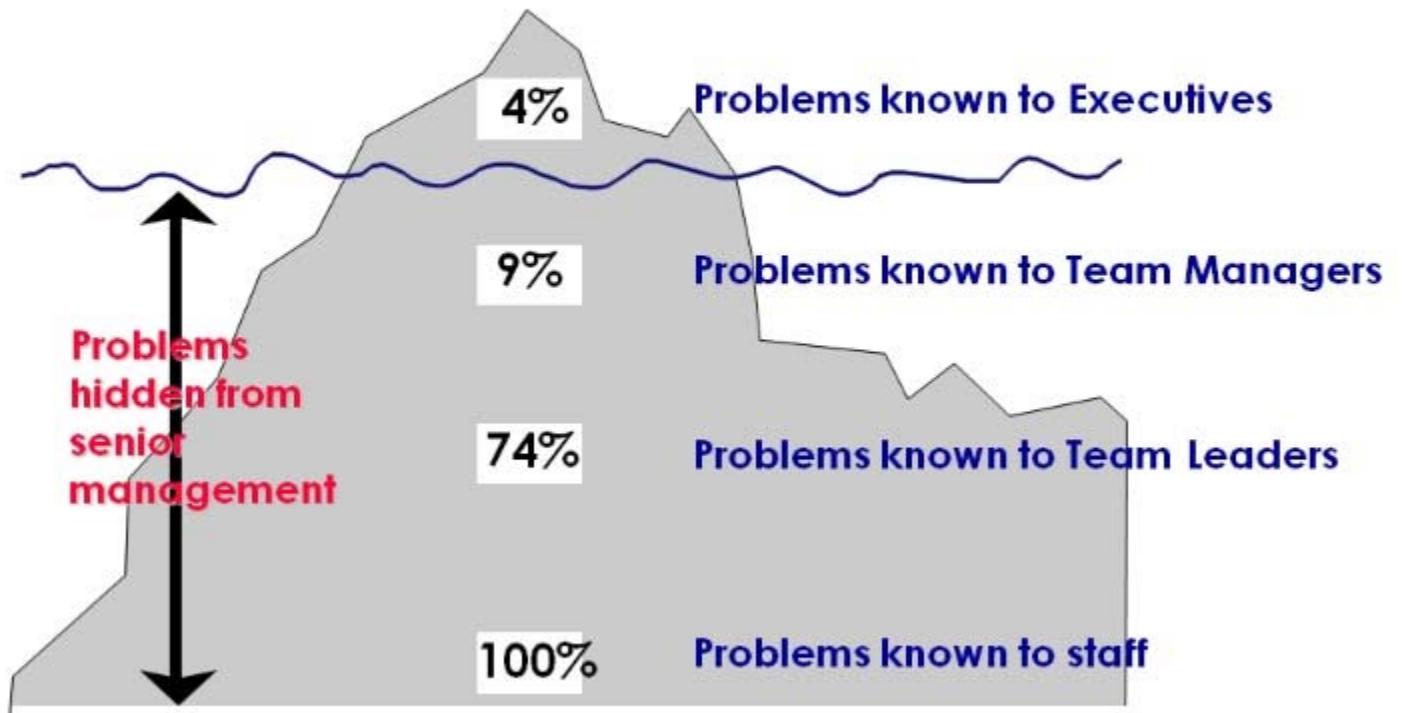
Date/Time	Description of Event (Who was involved, What happened)	Oral Reminder /Kudo/ Written
		Observed by:



## Tab 6 – 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 7 – 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?		



## Tab 8 – 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 9 – 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 10 – Warning Signs of Bad Performance (with Tips to Change)

## Warning Signs of Bad Performance

<b>Potential Signs</b>	<b>Tips to Change</b>
Poor work quality and lack of results	Develop an improvement plan with detailed goals and timeline. Play to employee strengths and interests.
Arrives late; leaves early; takes long breaks	If this situation is isolated to just one employee, have a face-to-face discussion to identify the cause. If it is happening across a department or the entire organization, consider conducting an anonymous survey to uncover the root causes.
Careless attitude and disengaged from responsibility	Get to the bottom of what is going on and find a resolution.
Employee is not interested in improving and coaching becomes a one-way process	Come up with a corrective action or discipline.
Toxic employees who complain about everything	Talk to your negative team member and discuss the behavior and the need to become a more positive influence.
Rebellious and rallies the department	Deal with the situation before it escalates.
Getting customer or vendor complaints	Address the issue and do not allow an employee with a poor reputation in the field to damage your organization.
Lack of clear performance expectations	Outline expectations at beginning of new hire or start of project. Set SMART goals and communicate them often. Keep employee engaged. Match work with skills. Be a guide and a mentor.
Stressed (which can trigger fight or flight)	Evaluate employee workloads. Redistribute tasks. Be appreciative, supportive and offer recognition.
Missed deadlines	Important to communicate deadlines and their importance. Schedule regular status updates.
Boredom (leads to disengagement; loss of productivity)	Know employee likes and strengths. Offer them challenges. Keep employee motivated by offering recognition and feedback.