

## Lesson 5: Monitoring Performance

### PURPOSE

The purpose of Lesson 5 is to explain the Monitoring Phase and its key attributes; highlight the importance of documenting employees' accomplishments; emphasize the advantages of monitoring performance and having frequent discussions throughout the appraisal cycle; and review types of informal feedback needed to identify and addressing performance issues.

### LEARNING OBJECTIVES

When participants have completed Lesson 5, they will be able to:

- Identify Key Aspects of the Monitoring Phase.
- Explain the Value of Monitoring Performance Continually.
- Explain the Process Used to Address Performance Issues.
- Identify Elements of a Formal Performance Improvement Plan (PIP).

### MAIN POINTS

1. Key aspects of the Monitoring Phase
  - a) Frequent feedback throughout the appraisal cycle
  - b) Roles and responsibilities in this phase
  - c) Two-way communication
  - d) Document employees' accomplishments
2. Monitoring performance continually
  - a) Barriers to performance success
  - b) Recognizing and awarding employees before and at the end of cycle
  - c) Revising performance plans as needed

- d) Identifying performance issues during informal feedback
- 3. Process used to address performance issues
  - a) Steps used to address performance concerns informally
  - b) Conducting formal counseling session when performance lacks improvement
- 4. Performance Improvement Plan (PIP)
  - a) Key PIP elements
  - b) Steps for improving performance
  - c) Final step if performance continues to be unacceptable

**TIME**

The following is a suggested time plan for this lesson. The instructor(s) may adapt it as needed. Note this table does not reflect breaks – use your judgement to determine the timing of breaks for participants.

SESSION	TIME
<b>Lesson 5</b> <b>Monitoring Performance</b>	<b>2 hours with no break</b>

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<p><b>Lesson 5: Monitoring Performance</b></p> <p><b>SAY</b></p> <p>Welcome to Lesson 5: Monitoring Performance. In this lesson, we will discuss the continuous performance management process and the overall goal of monitoring performance.</p>	<p><b>SHOW SLIDE 1</b></p>
<p><b>SAY</b></p> <p>These words represent the key messages that embody what is most important about New Beginnings—performance, mission, communication, excellence, etc.</p> <p><b>DO</b></p> <p>Display this New Beginnings slide at the beginning of each instructional day and during breaks.</p>	<p><b>SHOW SLIDE 2</b></p>
<p><b>SAY</b></p> <p>Before we begin, let’s review the learning objectives for this lesson.</p> <p>Upon completion of this lesson, you will be able to:</p> <ul style="list-style-type: none"> <li>• Identify Key Aspects of the Monitoring Phase.</li> <li>• Explain The Value of Monitoring Performance Continually.</li> <li>• Explain The Process Used to Address Performance Issues.</li> <li>• Identify Elements of a Formal Performance Improvement Plan (PIP).</li> </ul> <p><b>DO</b></p> <p>Leave this slide up while you discuss the topics that will be covered in this module. Paraphrase the learning outcomes; it is not</p>	<p><b>SHOW SLIDE 3</b></p>

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<p>necessary to read them verbatim.</p> <p>If lesson is being presented as a stand-alone lesson, show all slides. If not, then consider hiding slides as appropriate.</p> <p><b>Additional Resources:</b></p> <ul style="list-style-type: none"> <li>• L5 PM Cycle Monitoring and Develop Roles and Responsibilities</li> <li>• L5 Performance Discussion Checklist</li> <li>• L5 Communicating With Your Supervisor</li> <li>• L5 Performance Discussion Guide</li> <li>• L5 Supervisors Checklist - Performance Counseling</li> <li>• L5 Supervisors Guide to Performance Reviews</li> <li>• L5 Preventing Performance Issues</li> </ul> <p><b>Video:</b></p> <ul style="list-style-type: none"> <li>• Mid Year Review Gone Wrong</li> <li>• Mid Year Review Gone Right</li> <li>• What would you do? Part I</li> <li>• What would you do? Part II</li> <li>• What would you do? Part III</li> </ul>	
<p><b>SAY</b></p> <p>As you'll recall from our previous lessons, performance management is an ongoing process that consists of several steps and phases.</p> <p>There are specific activities that take place during each phase. In this lesson, we're going to look at the Monitoring Phase.</p>	<p><b>SHOW SLIDE 4</b></p>
<p><b>SAY</b></p> <p>Performance management is a continuous process with joint input</p>	<p><b>SHOW SLIDE 5</b></p>

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<p>from both supervisor and employee.</p> <p>Monitoring entails supervisors checking in with their employees on a continuous basis to gauge how they are progressing with their performance plans. As you might have guessed, monitoring performance is a critical part of a successful performance management program. In a high-performing organization, supervisors continually monitor assignments and projects consistently to measure performance and provide ongoing feedback to employees and work groups on progress toward reaching their goals.</p>	
<p><b>SAY</b></p> <p>During the Monitoring Phase, supervisors and managers have a continuous, open dialog about performance.</p> <p>Key aspects are:</p> <ul style="list-style-type: none"> <li>• Two-Way Communication</li> <li>• Emphasize Organizational Goals</li> <li>• Frequent Performance Discussions</li> <li>• Focus on Performance</li> <li>• Timely Recognition and Rewards</li> <li>• Early Detection of Performance Issues</li> </ul> <p><b><i>During the monitoring process, communication between supervisor and employee is the most important determinant of success.</i></b></p>	<p><b>SHOW SLIDE 6</b></p>

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<p><b>SAY</b></p> <p>Let's look at roles and responsibilities of supervisors and employees.</p> <p><b>Supervisors:</b></p> <ul style="list-style-type: none"> <li>Continuously communicate with and provide encouragement, meaningful feedback, and appreciation to ALL employees. Effective and timely feedback during the performance appraisal cycle provides employees with an understanding of how well they are performing, what they are doing well, and if there are areas which need improvement. Feedback can come from many different sources, such as observation, measurement programs, peers, and input from customers.</li> <li>Provide employees an opportunity to highlight their accomplishments. These opportunities may come during informal feedback sessions, or through employee input. Supervisors should be open and positive when their employees highlight their accomplishments—they are likely proud of what they did, and supervisors should honor their success.</li> <li>Identify needed changes to performance elements and standards as appropriate.</li> <li>Review IDPs to identify development opportunities such as training, on-the-job training, counseling, and coaching opportunities. A supervisor should consider the IDP a start to the performance management dialog with the employee. As we mentioned, the IDP should be considered a partnership between the employee and the supervisor.</li> <li>Be knowledgeable regarding each employee's skills and abilities, and look for opportunities to help employees further develop their skills. Supervisors should consider stretch goals, informal learning, coaching engagements, and developmental assignments in addition to traditional skills training.</li> <li>Document performance discussions. Ongoing communication</li> </ul>	<p><b>SHOW SLIDE 7</b></p>

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<p>and feedback are essential to a successful performance management program. Performance discussions provide an opportunity for a meaningful dialogue between supervisors and employees that focuses on performance—what is working well and what are the opportunities for improvement? Keeping track of performance discussions and feedback simplifies the evaluation phase, reducing the amount of time and energy a supervisors has to spend on this critical activity.</p> <ul style="list-style-type: none"> <li>Recognize and reward performance throughout the performance appraisal cycle rather than waiting until the final performance appraisal discussion.</li> </ul> <p><b>Ask:</b> Are there any questions about these responsibilities?</p>	
<p><b>Say</b></p> <p>And how about roles and responsibilities for monitoring performance for employees?</p> <p><b>Employees should:</b></p> <ul style="list-style-type: none"> <li>Ask questions. Employees who understand where they fit in the big picture and what they need to do to succeed will be better engaged in mission accomplishment. If employees are not sure what their supervisor expects of them, they should ask clarifying questions until they reach a shared understanding of the performance required for mission success.</li> <li>Remain engaged in self-development. The employee is the best steward of his or her career, and continuous self-development is one of the keys to advancing careers and maintaining the technical knowledge that is one of the foundations of the DoD performance culture.</li> <li>Keep their supervisor informed on the outcomes of their work. DPMAP encourages and expects frequent, informal feedback. When employees complete a goal or have some</li> </ul>	<p><b>SHOW SLIDE 8</b></p>

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<p>issues preventing them from accomplishing it, their supervisor needs to know.</p> <ul style="list-style-type: none"> <li>• Provide input about their accomplishments, relative to the performance elements and standards, during the performance discussions. The goal of performance discussions and other feedback is to ensure that supervisors stay informed of employees' progress towards their elements.</li> <li>• Identify needed changes to performance elements/standards as appropriate.</li> <li>• Work with supervisor to find solutions to barriers to success. Continuous performance discussions throughout the performance appraisal cycle also provide opportunities for supervisors and employees to discuss and document any needed adjustments to performance plans. Employees should give meaningful suggestions to their supervisor when it applies. When citing an area that needs attention, employees should offer suggestions for improvement and identify barriers to meeting goals outlined in the performance plan.</li> </ul> <p><b>Interactivity:</b> Ask: Are there any questions about these responsibilities?</p>	
<p><b>SAY</b></p> <p>When monitoring performance, communication between supervisor and employee is the most important determinant of success.</p> <p>Supervisors need to be sure to explain that:</p> <ul style="list-style-type: none"> <li>• Individual performance expectations are linked to organizational goals. They should describe how organizational goals relate to</li> </ul>	<p><b>SHOW SLIDE 9</b></p>



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<p>the DoD mission and explain the near- and long-term goals of the organization and how individual performance impacts mission accomplishment.</p> <ul style="list-style-type: none"> <li>• Each employee is responsible for individual success. Employees work with their supervisors to establish performance goals and to meet expectations, and are recognized and rewarded for achieving their performance goals through individual and team accomplishments.</li> <li>• Employees and supervisors openly discuss individual performance goals and expectations. Performance towards meeting performance expectations is discussed and evaluated on a frequent basis through informal and formal discussions.</li> </ul>	
<p><b>SAY</b></p> <p>What are the elements of effective communication?</p> <ul style="list-style-type: none"> <li>• Good communications—continuous and candid communication between employees and supervisors — is the key to a performance evaluation program that holds no surprises for anyone during the final appraisal performance discussion.</li> <li>• Communication provides a vehicle for continuous feedback on staff's strengths, areas for improvement, and guidance on projects and responsibilities.</li> <li>• Active listening is imperative in a successful performance evaluation and feedback program.</li> </ul> <p><i>Ask Employees:</i> What is most helpful for you to hear from your supervisor?</p> <p><i>Ask Supervisors:</i> What is most helpful for you to hear from your employees?</p> <p><b>DO</b></p> <p>Facilitate a brief discussion that emphasizes the concepts of good</p>	<p><b>SHOW SLIDE 10</b></p>

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<p>communication from both parties.</p>	
<p><b>SAY</b></p> <p>Another important determinant of success is upward feedback to the supervisors.</p> <p>Performance management success doesn't just fall upon supervisors. Employees must also foster successful relationships with their supervisors and hold them accountable.</p> <p>Employees should:</p> <ul style="list-style-type: none"> <li>• Get to know their supervisor. Employees should communicate in a way that works best for their supervisor. This will help employees better understand what supervisors want from them. One approach is to spell out details on a smaller scale: "Does it work better for you if I send you weekly email updates about my projects, or would you rather talk about them in the monthly staff meeting?" This shows the supervisor that the employee is considering his or her perspective.</li> <li>• Anticipate and jump in. Employees should always offer help during a work "emergency" but also make a habit of paying attention to the normal rhythms of their organization to discover where they might be able to pitch in more continuously.</li> <li>• Imagine the bigger picture. The best leaders deliberately build their organizations with people they think are brighter and more talented than they are.</li> </ul>	<p><b>SHOW SLIDE 11</b></p>
<p><b>SAY</b></p> <p>As we've discussed, supervisors and employees should meet continuously to make sure that employees are on track to achieve their goals.</p> <p><b>ASK</b></p>	<p><b>SHOW SLIDE 12</b></p>

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<p><i>Ask:</i> What are the benefits of having continuous performance discussions?</p> <p><i>Sample answers:</i> These discussions:</p> <ul style="list-style-type: none"> <li>• Build trust and confidence</li> <li>• Ensure both parties are working together to achieve individual and organizational success</li> <li>• Allow both parties to identify strengths and examples of success</li> <li>• Allow both parties to note areas for improvement as they happen</li> <li>• Ensure employee awareness</li> <li>• Provide time for supervisors to help employees improve before the performance process ends</li> <li>• Build accountability</li> </ul> <p>Ultimately, the benefit of a continuous conversation about performance is that <b>there are no surprises come rating time.</b></p> <p><b>DO</b></p> <p>Lead the class in an open discussion about the benefits of continuous performance discussions. Write all responses on the white board as you hear from participants.</p>	
<p><b>SAY</b></p> <p>Continuous performance discussions help to ensure that both the supervisor and employee have a clear understanding of the outcomes at the final performance appraisal discussion.</p> <p>In monitoring performance, the overall goal is mutual understanding between employee and supervisor, which helps eliminate surprises at the end of the rating period.</p>	<p><b>SHOW SLIDE 13</b></p>

Instructor Notes	Content
<p>When feedback has been provided on an ongoing basis, the final performance appraisal discussion should be a culmination of discussions which have occurred throughout the appraisal cycle. In other words, there should be a shared understanding of performance outcomes in the final performance appraisal discussion. During this meeting, supervisors should discuss with employees their ratings, narratives, and rationale for the evaluation given.</p>	
<p><b>SAY</b></p> <p>Monitoring involves checking in with employees, and this includes at least one mandatory documented progress review, according to DoDI 1400.25, vol. 431.</p> <p><b>DO</b></p> <p>Let's look at how one of these meetings can go wrong.</p> <p><b>Exercise Objective:</b> Observe a progress review that did not go well. Compare and contrast with a successful progress review.</p> <p><b>Instructions:</b> Show the video.</p> <p><b>Instructor Notes:</b></p> <p>Required Materials: <i>Mid-Year Review Gone Wrong</i> video (2:22); <i>Lesson 5 Mid-Year Review Gone Wrong Video Script.docx</i></p> <p>Tell the participants they will see two examples of performance discussions.</p> <p>Instruct the participants to pay attention for aspects of the meeting that worked well and to pay attention to the questions asked by the narrator.</p> <p>When the video is over, ask the participants what aspects of the video struck them.</p> <p>Emphasize the points in the video where the supervisor works with the employee to align the employee goals with team goals and verify employee understanding, and where the employee commits to the critical elements identified by the supervisor.</p>	<p><b>SHOW SLIDE 13</b></p>

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<p><b>SAY</b></p> <p>Let's watch another example of an informal feedback session.</p> <p><b>DO</b></p> <p><b>Continue the Exercise:</b></p> <p><b>Objective:</b> Observe a successful performance discussion. Compare and contrast with an unsuccessful performance discussion.</p> <p><b>Instructions:</b> Show the <i>Mid-Year Review Gone Right</i> video.</p> <p><b>Instructor Notes:</b></p> <p>Required Materials: <i>Mid-Year Review Gone Right video (2:22); Lesson 5 Mid-Year Review Gone Right Video Script.docx</i></p>	<p><b>SHOW SLIDE 14</b></p>
<p><b>SAY</b></p> <p>There will be some barriers that both employees and supervisors may face when implementing the Performance Management and Appraisal Program.</p> <p>Generally speaking, barriers come in three forms. Here they are with examples:</p> <ol style="list-style-type: none"> <li>1) Internal – motivation, perception, work-life imbalance,</li> <li>2) External – Resource constraints, training and development,</li> <li>3) Systemic – Disparate treatment, lack of supervisor accountability</li> </ol>	<p><b>SHOW SLIDE 15</b></p>

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<p><b>ASK:</b> <i>What barriers have you seen in your workplaces?</i></p> <p><i>And what did you do to overcome them?</i></p>	
<p><b>SAY</b></p> <p>Let's now take a look at the potential barriers supervisors and employees may face in implementing this new program.</p> <p><b>DO</b></p> <p><b>Lead an Exercise:</b></p> <p><b>Objective:</b> Small group activity. Discuss ways to overcome the barriers to performance success.</p> <p><b>Instructions:</b> Instruct participants to break out into small groups and each list 3 barriers employees or supervisors may face in implementing this Performance Management and Appraisal Program. These barriers can be internal, external, or systemic in nature. Have participants share their barriers with their small group and discuss ways to overcome or work around them.</p> <p><b>SAY</b></p> <p>Let's review</p> <p>What did you come up with in your groups?</p>	<p><b>SHOW SLIDE 16</b></p>
<p><b>SAY</b></p> <p>One benefit of continuous monitoring is the ability to quickly revise a plan when it is clear that the standards can't be met.</p>	<p><b>SHOW SLIDE 17</b></p>

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<p>Although performance plans are initiated at the beginning of the appraisal cycle, they are flexible, living documents and can be updated to meet the organizational needs.</p> <p>Any number of events can take place during an appraisal cycle that would warrant changing a plan. For example, plans may be changed to reflect:</p> <ul style="list-style-type: none"> <li>• New organizational goals</li> <li>• A change in assignment(s), position, or duties</li> <li>• Updated goals when outside influences beyond an employee’s control make the original goals unachievable</li> <li>• A change in assumptions about what can be reasonably achieved during the appraisal cycle</li> <li>• The priorities of a new supervisor</li> <li>• Shifts or changes in mission</li> </ul> <p>When necessary, performance plans are modified to reflect the new goals and priorities, and communicated to employees. Just as when creating performance plans, changes should also be made with employee input.</p> <p>All approved modifications to performance elements or standards must be discussed with and communicated to the employee, and the employee should acknowledge the revisions in the MyPerformance appraisal tool or on the DD Form 2906.</p> <p>Changes to work requirements or assignment of new duties may require a supervisor to change an element or standard. If this occurs within 90 calendar days of the end of the appraisal cycle, the supervisor may:</p> <ul style="list-style-type: none"> <li>• Revise the element or standard at the beginning of the next appraisal cycle;</li> <li>• Update the plan and, if the employee does not have an opportunity to perform the new element(s) for the minimum 90-calendar-day period, do not rate the revised element(s); or</li> </ul>	

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<ul style="list-style-type: none"> <li>Extend the appraisal cycle by the amount of time necessary to allow 90 calendar days of observed performance under the revised element or standard. <b>Note:</b> Extending the appraisal cycle will affect the start date of the employee’s subsequent appraisal cycle; however, the subsequent appraisal cycle still ends March 31 of the following calendar year.</li> </ul>	
<p><b>SAY</b></p> <p>Continuous performance discussions help to ensure that both the supervisor and employee have a clear understanding of the outcomes at the final performance appraisal discussion.</p> <p>In monitoring performance, the overall goal is mutual understanding between employee and supervisor, which helps eliminate surprises at the end of the rating period.</p> <p>When feedback has been provided on an ongoing basis, the final performance appraisal discussion should be a culmination of discussions which have occurred throughout the performance appraisal cycle. In other words, there should be a shared understanding of performance outcomes in the final performance appraisal discussion. During this meeting, supervisors should discuss with employees their ratings, narratives, and rationale for the evaluation given.</p>	<p><b>SHOW SLIDE 18</b></p>
<p><b>SAY</b></p> <p>It is the employee’s responsibility to communicate what they have achieved.</p> <p>It is the supervisor’s responsibility to help their employees achieve their standards by creating an environment that fosters success. Supervisors may also need to help employees set up a plan to document their accomplishments. One way to do that is to suggest that employees record their accomplishments throughout the appraisal cycle. For instance, an employee could share feedback he</p>	<p><b>SHOW SLIDE 19</b></p>



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<p>received from customers with his supervisor so he or she is aware of the great job the employee is doing.</p> <p>Though written employee input is voluntary, employees should be encouraged to:</p> <ul style="list-style-type: none"> <li>• Write their accomplishments in a clear, concise manner</li> <li>• Identify specific examples of what they achieved as they relate to the performance elements and standards</li> <li>• Demonstrate how their accomplishments contributed to the organization achieving its goals</li> </ul>	
<p><b>SAY</b></p> <p>Now that we know the goals of performance discussions, let's look more closely at what they consist of for both employees and supervisors.</p> <p><b>DO</b></p> <p><b>Lead an Exercise:</b></p> <p><b>Objective:</b> Model the benefits of holding numerous performance discussion</p> <p><b>Instructions:</b> Instruct participants to break into pairs of one supervisor and one employee. Have the supervisors read through the sample discussion questions in the <i>Sample Performance Discussion Questions for Managers to Ask Employees</i> document. Have employees read through the sample discussion questions in the <i>Sample Performance Discussion Questions for Employees to Ask Managers</i> document.</p> <p>Once each person has read through their document, conduct 5 quick (3-minute) role-playing scenarios for each category within the sample discussion: past performance, connection of work to mission, satisfaction with work and work environment, career</p>	<p><b>SHOW SLIDE 20</b></p>

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<p>objectives, and goals for next upcoming appraisal cycle.</p> <p>Instructor Notes: Walk around the room as the role-playing scenarios are taking place and offer help as needed. Lead a class discussion afterward to debrief how the scenarios went and what supervisors and employees may have learned from each other's point of view.</p>	
<p><b>SAY</b></p> <p>Let's talk about what to do when there are performance issues.</p> <p>The first step in addressing performance issues is to provide employees with informal feedback. Informal feedback may take several forms (e.g., telephone, private office, e-mail, etc.) and, in order to have the maximum benefit, should be given as soon as the supervisor identifies performance deficiencies.</p> <p>Let's look at the steps involved in providing informal feedback:</p> <ul style="list-style-type: none"> <li>• State what has been observed using facts, not emotions</li> <li>• Provide a statement regarding the impact of the action on others, or state the standard for acceptable work</li> <li>• Wait for a response (let them talk)</li> <li>• Ask for a solution; give suggestions if needed</li> <li>• Agree on a solution together</li> <li>• Set a follow-up date and time</li> <li>• Thank the employee for his or her time.</li> </ul> <p>Make sure you document everything!</p>	<p><b>SHOW SLIDE 21</b></p>
<p><b>SAY</b></p> <p>Supervisors should use this checklist when informally</p>	<p><b>SHOW SLIDE 22</b></p>

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<p>communicating performance issues to employees.</p> <p>It's imperative that the supervisor communicate expectations and performance problems. Supervisors should use the following checklist and ask themselves the following questions:</p> <ul style="list-style-type: none"> <li>• Are you sure the issue is primarily a performance problem (as opposed to misconduct)?</li> <li>• Have you communicated the standards to the employee?</li> <li>• Are the standards clear and reasonable?</li> <li>• Have you asked the human resources staff to review the standards for any possible problems?</li> <li>• Have you given the employee specific examples of when their work did not meet the standards?</li> </ul>	
<p><b>SAY</b></p> <p>At any point during the appraisal cycle, when a supervisor detects a decline in performance, early intervention is imperative.</p> <p>Assistance should be provided to the employees early on, whenever there is a need for improvement or any time there is a decline in performance.</p> <p><b>ASK</b></p> <p><i>Ask:</i> What actions should be taken?</p> <p>Supervisors can focus on what they would do with an employee.</p>	<p><b>SHOW SLIDE 23</b></p>

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<p>Employees can focus on what would help them improve performance.</p> <p>As participants give answers, try to match up the supervisor and employee answers to show that things like explaining why the performance fails to meet standards is important to both employees and supervisors.</p> <p><i>Sample answers:</i></p> <ul style="list-style-type: none"> <li>• Clearly communicate to the employee that current performance fails to meet the standards described in the performance plan; provide clear guidance as to what is needed in order for the employee to improve; and provide specific examples of what and how work has not met expectations and of work that would meet expectations</li> <li>• Offer appropriate assistance</li> <li>• Provide ideas of where the employee may go to obtain additional assistance or training, if applicable</li> <li>• Provide closer supervision and feedback. This might include more frequent reporting, special assignments, or on-the-job training</li> <li>• If performance issues persist, use a more formal approach to help employees improve and seek assistance from the human resources office</li> </ul>	
<p><b>SAY</b></p> <p>Performance issues are bound to occur in every workplace. So, what should supervisors do once they become aware of performance issues?</p> <p>Steps that supervisors should follow when addressing and improving performance are:</p> <ol style="list-style-type: none"> <li>1. Clearly identify unacceptable performance</li> </ol>	<p><b>SHOW SLIDE 24</b></p>

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<p>2. Offer assistance 3. Provide an opportunity to improve.</p>	
<p><b>SAY</b> Let’s watch the first in a video series and work through an example of a performance issue together.</p> <p><b>DO</b> Lead an Exercise: Objective: Gauge whether participants can detect the difference between a conduct-based and performance-based problem, explain how a behavior affects work and coworkers, and determine the proper questions to ask and steps to be taken. Instructions: Tell participants that the purpose of this activity is to get them thinking about how they would handle the situation in the video based on what they’ve learned in the course.</p> <p><b>Play Video:</b> Play the video: What Would You Do? (Part 1).</p> <p><b>Ask the participants:</b> Is this problem conduct-based, performance-based, or both? How is the behavior affecting the work? How is the behavior affecting others?</p> <p><b>Instructions:</b> Have participants use the worksheet (Lesson 5 What Would You Do Part 1 Worksheet) to record questions they would need to have answered or some steps they would need to take if they were the supervisor/manager in the video. Ask a volunteer to share one question he or she has written and to explain why the question should be asked. You may want to discuss</p>	<p><b>SHOW SLIDE 25</b></p>

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<p>the question as a whole group, if applicable.</p> <p>Instructor Notes: The video script is available in the Lesson 5 What Would You Do Video Script handout.</p> <p>Sample answers to the worksheet questions are included in the Lesson 5 What Would You Do Part 1 Worksheet handout.</p>	
<p><b>SAY</b></p> <p>Now let's watch the second part of the video.</p> <p><b>DO</b></p> <p>Continue the Exercise:</p> <p><b>Objective:</b></p> <p>Gauge whether participants can detect the difference between a conduct-based and performance-based problem, explain how a behavior affects work and coworkers, and determine the proper questions to ask and steps to be taken.</p> <p><b>Play Video Part 2:</b></p> <p>Play Part 2 of the video, in which Luis seeks help from Human Relations.</p> <p><b>After showing the video ask participants:</b></p> <ul style="list-style-type: none"> <li>• In what way has Luis ineffectively managed the situation?</li> <li>• If you were Luis's peer, what advice would you give to him?</li> <li>• What would you expect him to do next to address the situation?</li> </ul> <p>These questions could prompt some lively and productive conversation. Encourage participants to apply key messages from the course as they consider how to advise Luis.</p> <p>Instructor Notes: The video script is available in the Lesson 5 What</p>	<p><b>SHOW SLIDE 26</b></p>

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<p>Would You Do Video Script handout.</p> <p>Timing: 15 to watch and discuss Parts 1 and 2 of the video.</p>	
<p><b>SAY</b></p> <p>On the other side of the coin, supervisors may need to deal with employees who are not performing up to their standards.</p> <p>Although the vast majority of DoD employees work hard and do their jobs very well, there may be times when supervisors must counsel an employee whose performance is unacceptable. Performance that deviates from an acceptable level must be immediately addressed. Supervisors should conduct counseling sessions with the employee as soon as they think there is a problem; do not wait until a scheduled performance discussion or the final performance appraisal discussion.</p> <p>Performance issues rarely correct themselves without action.</p> <p><b>General steps for supervisors when addressing performance issues are:</b></p> <ol style="list-style-type: none"> <li>1. Provide scheduled performance discussions</li> <li>2. Identify and document performance deficiencies</li> <li>3. Counsel employee on performance deficiencies</li> <li>4. Provide time for improvement</li> <li>5. If performance remains unacceptable, consider use of a performance improvement plan (PIP) – be sure to consult your HR Professionals for assistance</li> <li>6. If performance remains unacceptable, personnel action may result; (personnel actions include reassignment, demotion, or termination)</li> </ol>	<p><b>SHOW SLIDE 27</b></p>

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<p>The goal is to not go through all of these steps – the point here is to head off performance issues before it gets to the level that requires a personnel action.</p> <p>Note that all employees should not only receive counseling at intervals required by the performance appraisal system but also whenever the employee does something well. Counseling and feedback are part of a supervisor’s responsibilities to all employees.</p> <p>Effectively dealing with performers with performance issues, means recognizing employees’ training needs early, identifying deficiencies that can be corrected, and providing the most effective assistance to employees.</p> <p>Note that PIPs can be given during the appraisal cycle (and not just at the end or after) if deficiencies have occurred AFTER the employee has been working under an approved performance plan for a minimum of 90 days.</p>	
<p><b>SAY</b></p> <p>So, what can employees do to help improve their performance?</p> <p><b>Employees should:</b></p> <ul style="list-style-type: none"> <li>• Ask clarifying questions</li> <li>• Ask for specific examples of “Fully Successful” performance</li> <li>• Request additional job-related training or assistance</li> <li>• Adhere to responsibilities outlined in the PIP document; actively seek assistance when needed</li> </ul> <p><b>ASK</b></p> <p>What other things can employees do to improve performance?</p>	<p><b>SHOW SLIDE 28</b></p>



Instructor Notes	Content
<p><b>SAY</b></p> <p>Let's watch the third part of the video.</p> <p><b>DO</b></p> <p><b>Continue the Exercise:</b></p> <p>Objective: Gauge whether participants can detect the difference between a conduct-based and performance-based problem, explain how a behavior affects work and coworkers, and determine the proper questions to ask and steps to be taken.</p> <p><b>Play Video Part 3:</b></p> <p>Show Part 3 of the video, in which Luis discusses the planning of a counseling session.</p> <p>Ask participants: In your opinion, did Luis adequately prepare for a counseling session with Harry?</p> <p>Because there is no video depicting the actual counseling session, this is a good opportunity for participants to role-play what they would say if they were Harry's supervisor. If you have time, ask participants to role-play the counseling session between Harry and Luis.</p> <p><b>Instructor Notes:</b> The video script is available in the Lesson 5 What Would You Do Video Script handout.</p> <p>Timing: 5 to watch and discuss Part 3 of the video.</p>	<p><b>SHOW SLIDE 29</b></p>
<p><b>SAY</b></p> <p>When in a situation where performance must be improved, it is vital</p>	<p><b>SHOW SLIDE 30</b></p>

<b>Instructor Notes</b>	<b>Content</b>
<p>for all parties to communicate clearly.</p> <p>No matter how hard you work or how good you are at your job, if you can't connect with the people you work with, you will not be as successful as you could be. The key to connecting with people is communication. As you may have experienced in your life, communication is tricky. Messages never transmit 100% as intended. It is best to assume that there is going to be miscommunication. The sender often determines the form of delivery (email, face-to-face, phone, formal appraisal) as well as the time and the place of the message. Both the sender and receiver have their own expectations, experiences, assumptions, attitudes toward work, and ways of viewing the world. Some things are included in the message but are not always conscious, such as tone, body language, and facial expression.</p> <p>Communication and clarification is one way to overcome this challenge. There are two steps: when someone communicates with you (by saying something or writing something), you should clarify what you heard. This can take many forms, from repeating back what you heard to asking questions to make sure you understood.</p> <p>This goes for both supervisors and employees — anyone having a potentially difficult conversation. This kind of good communication practice is important for reducing the chances of being misunderstood and verifying that your point has been heard, and is the first step toward improving performance.</p> <p><b>DO</b></p> <p>If a Component trainer knows of a communications course available that is relevant to the audience, this would be a good place to share that course information.</p>	
<p><b>SAY</b></p> <p>If it comes to a formal feedback, supervisors should start with a formal counseling session and ensure that everything is</p>	<p><b>SHOW SLIDE 31</b></p>

Instructor Notes	Content
<p>documented.</p> <p>Formal feedback often comes in the form of meetings or counseling sessions with employees. The purpose of counseling is to let employees with performance issues know that their performance is not meeting expectations and to help them raise their performance to the expected level. Counseling aims to assist, not punish, the employee.</p> <p>The following are the first four tips to help supervisors prepare for and conduct effective counseling sessions.</p> <ul style="list-style-type: none"> <li>• Clearly communicate what acceptable performance looks like</li> <li>• Conduct the counseling session in an appropriate setting</li> <li>• Plan for enough time and document the session</li> <li>• Make sure the employee understands performance expectations</li> <li>• Focus on the performance issues</li> <li>• Leave emotions out of the conversation</li> <li>• Seek cooperation, NOT confrontation</li> <li>• The mutual goal is to improve the employee's performance</li> </ul> <p><b>ASK</b></p> <p>Ask supervisors: What additional tips do you have for effectively counseling session?</p>	
<p><b>SAY</b></p> <p>So what happens if informal procedures do not improve performance? Formal feedback must be given in the form of a Performance Improvement Plan, or PIP. <b>Supervisors should call Human Relations prior as a first step to find the procedures for their organization.</b> This will save a lot of time and ensure they are doing the right things.</p>	<p><b>SHOW SLIDE 32</b></p>

Instructor Notes	Content
<p>If the employee’s performance declines to less than “Fully Successful” in one or more performance elements, the supervisor, in consultation with the servicing human resources office, must determine whether action is more appropriate under section 432.105 or part 752 of title 5, CFR, and must provide notice of the performance deficiencies.</p> <p>The supervisor must also provide assistance designed to help the employee improve his or her performance during an opportunity period to demonstrate acceptable performance. The procedures contained in sections 432.104 and 432.105 of title 5, CFR must be followed if action is being taken under section 432.105 of title 5, CFR. The procedures are:</p> <ul style="list-style-type: none"> <li>• The supervisor must identify in writing (e.g., in a PIP):           <ul style="list-style-type: none"> <li>• Element(s) in which performance is “Unacceptable” and a description of the unacceptable performance</li> <li>• What standards the employee must attain in order to demonstrate “Fully Successful” performance</li> <li>• The time allowed for the opportunity to improve; the time allowed must be reasonable and commensurate with the duties and responsibilities of the position, typically 30 – 90 calendar days</li> <li>• Statement of the possible consequences of failure to raise performance to the “Fully Successful” level during the opportunity period</li> <li>• What assistance the Agency is offering the employee in improving unacceptable performance</li> </ul> </li> <li>• If the employee fails to demonstrate performance at the “Fully Successful” level despite the PIP, he or she may be reduced in grade or removed from Federal service pursuant to section 432.105 of title 5, CFR. The employee may also be subject to reassignment at the DoD Component’s discretion.</li> </ul>	

Instructor Notes	Content
<p><b>SAY</b></p> <p>Let’s now take a look at the potential barriers you may face in implementing DPMAP.</p> <p><b>DO</b></p> <p><b>Exercise Objective:</b> Demonstrate how to immediately address performance that deviates from an acceptable level.</p> <p><b>Instructions:</b> Have participants break out into small groups to review the case study and discuss appropriate methods for immediately addressing performance that deviates from an acceptable level.</p> <p><b>Instructor Notes:</b></p> <p>Make sure each group discusses different levels of performance deficiencies, from trivial to serious.</p> <p>(Check other PM training courses for examples.)</p> <p><b>Improving Performance Case Study</b></p> <p>You are a supervisor with a team of eight employees. Four of your employees are demonstrating behavior that should be addressed immediately before it becomes a performance issue. Read over the facts and discuss with your group the performance improvements needed for each employee. Then come up with a strategy for addressing each employee’s performance.</p> <p><b>Employee 1:</b></p> <ul style="list-style-type: none"> <li>• GS-5 with 2 years of experience.</li> <li>• Employee just had her first child.</li> <li>• Employee hasn’t received training recently and is apprehensive about the new document managing systems.</li> </ul>	<p><b>SHOW SLIDE 33</b></p>

Instructor Notes	Content
<ul style="list-style-type: none"> <li>• The last rating was fully acceptable, but the current supervisor thinks that rating was higher than it should be.</li> <li>• The employee recently has demonstrated problems with tardiness and at times has shown a negative attitude toward her superiors.</li> </ul> <p><b>Employee 2:</b></p> <ul style="list-style-type: none"> <li>• GS-9 with 15 years of service.</li> <li>• Employee has attended all provided training.</li> <li>• While the employee’s performance in the past was good, the quality has consistently declined.</li> <li>• The supervisor used to be able to rely on this employee. However, recently the supervisor believes that the employee is not as reliable (both in terms of quality of performance and timeliness in submitting assignments).</li> <li>• The supervisor is finding it difficult to communicate her expectations to the employee.</li> </ul> <p><b>Employee 3:</b></p> <ul style="list-style-type: none"> <li>• GS-9 who recently came over from a different Federal agency.</li> <li>• Employee has had trouble adjusting to the culture at the new location.</li> <li>• At the end of the last cycle, the employee missed one deadline, but still completed the work.</li> <li>• The employee seems to think that she is on an island and has no support. Likewise, the employee does not support her coworkers.</li> </ul> <p><b>Employee 4:</b></p> <ul style="list-style-type: none"> <li>• GS-7 who was just hired out of school.</li> <li>• Employee has never before worked in an office setting.</li> </ul>	

Instructor Notes	Content
<ul style="list-style-type: none"> <li>• There have been complaints about the employee regarding unprofessional behavior.</li> <li>• The work the employee submitted has been satisfactory, but could be better.</li> </ul>	
<p><b>SAY</b></p> <p>Let's go through a scenario together as a class.</p> <p><b>DO</b></p> <p><b>Objective:</b></p> <p>Practice the communication and clarification required for improving performance in the workplace.</p> <p><b>Instructions:</b> As a class, go through the scenario on the slides and discuss each step.</p> <p><b>Instructor Notes:</b> This exercise shows an effective interaction between a supervisor and an employee with performance issues. Allow the class to ask questions throughout the scenario.</p>	<p><b>SHOW SLIDE 34</b></p>
<p><b>SAY</b></p> <p>Ok, so let's discuss</p> <p>Taking immediate action, the supervisor notes that the employee's performance plan includes a standard that work be performed in a timely manner. The employee has been on the performance plan for more than 90 days.</p> <p><b>ASK</b></p> <p>How can the supervisor use communication and clarification in this case?</p>	<p><b>SHOW SLIDE 35</b></p>

Instructor Notes	Content
<p><b>SAY</b></p> <p><b>What does the supervisor do next?</b></p> <p>The supervisor meets with the employee privately and discusses the missed deadlines, the performance plan’s requirement, and the employee’s unacceptable performance.</p> <p><b>ASK</b></p> <p>How can the supervisor use communication and clarification in this case?</p>	<p><b>SHOW SLIDE 36</b></p>
<p><b>SAY</b></p> <p>Next, the supervisor needs to document the conversation.</p> <p>As a follow-up, the supervisor sends the employee an email summarizing (and documenting) their informal conversation.</p> <p><b>ASK</b></p> <p>How can the supervisor use communication and clarification in this case?</p>	<p><b>SHOW SLIDE 37</b></p>



Instructor Notes	Content
<p><b>SAY</b></p> <p><b>The employee continues to miss deadlines.</b></p> <p>The supervisor provides the employee with additional feedback: a formal memorandum of counseling, specifically referencing the deadlines that have been missed.</p> <p>The supervisor attaches the message assigning the work and its deadline as well as the employee’s dated message with the final work product. The employee’s dated message is proof that the work product is late.</p> <p><b>ASK</b></p> <p>How can the supervisor use communication and clarification in this case?</p>	<p><b>SHOW SLIDE 38</b></p>
<p><b>SAY</b></p> <p>The employee still continues to miss deadlines.</p> <p><b>ASK</b></p> <p>Ask the participants what a supervisor should do in this situation.</p> <p>Answer: The supervisor should initiate the Performance Improvement Plan (PIP) process, contacting Workforce Management for assistance and utilizing the information learned from this course.</p> <p>Instructor Notes: Allow the class to come up with the answers together, reminding them of the steps that a supervisor should take, if necessary.</p>	<p><b>SHOW SLIDE 39</b></p>

Instructor Notes	Content
<p><b>SAY</b></p> <p>Any final thoughts?</p> <p><b>DO</b></p> <p>Foster discussion on scenario</p> <p><b>Objective:</b> Practice the communication and clarification required for improving performance in the workplace.</p> <p><b>Instructor Notes:</b> This exercise shows an effective interaction between a supervisor and an employee with performance issues. Allow the class to ask questions throughout the scenario.</p>	<p><b>SHOW SLIDE 40</b></p>
<p><b>SAY</b></p> <p>What happens when supervisors <b>DO NOT</b> take immediate action?</p> <p>It's important to take immediate action for a number of reasons. Failure to take immediate action with problem employees could mean:</p> <ul style="list-style-type: none"> <li>• Damaging office morale. Other employees will resent the performer(s) with performance issues and resent the supervisor for not addressing the problem</li> <li>• Introducing additional disciplinary problems. It is not unusual for performers with performance issues to have attendance problems, or to misuse their computer and telephone. These problems should disappear once they are productively engaged.</li> </ul>	<p><b>SHOW SLIDE 41</b></p>
<p><b>SAY</b></p> <p>The best way for supervisors to handle performance issues is to take action to avoid performance problems before they occur.</p>	<p><b>SHOW SLIDE 42</b></p>

Instructor Notes	Content
<p>Such preventive actions include the following:</p> <ul style="list-style-type: none"> <li>• Communicate clear standards and expectations to employees. Supervisors should consider sharing performance expectations with their staff. If employees don't understand what is expected, it will be very hard, if not impossible, for them to meet those expectations. Providing clear expectations doesn't necessarily require supervisors to lay out precisely written, detailed instructions on every performance component. Generally, the question supervisors should ask themselves is: "Would a reasonable person understand what was expected?"</li> <li>• Provide frequent feedback on performance. Such feedback, both positive and negative, whether given in continuously scheduled meetings or in unscheduled discussions, is crucial to ensuring that expectations are understood. Frequent feedback lessens the likelihood that an employee will be surprised if it becomes necessary to take formal steps to resolve performance issues. Supervisors should always look for opportunities to confirm that their employees understand what is expected.</li> <li>• Reward and recognize good performance, informally and formally. Recognizing good performance is simply another way of clarifying expectations.</li> <li>• Make full use of the probationary period for new employees. Performance problems often first show up during the initial period of employment. This period is designed to provide an opportunity for supervisors to address such problems. Furthermore, an employee who is terminated during this period is not entitled to most of the procedures and appeal rights granted to employees who have completed probationary/trial periods. A recurring theme in successful resolution of performance problems is that taking action early is always better than waiting. This statement is definitely true when considering ways to prevent performance problems. Early communication, early feedback (positive and negative) and, if appropriate, early termination during a probationary or trial period are all good ways to prevent future performance problems. Investing time early is always time well spent.</li> </ul>	

Instructor Notes	Content
<p><b>ASK</b></p> <p><i>Ask:</i> Think of a time you had to communicate expectations to employees. What did that conversation look like? Was it ultimately successful in improving performance? Why or why not (ask multiple participants for their opinion)? Looking back on the situation, was there anything else you could have done or done differently?</p> <p><i>Ask supervisors:</i> What is the best way to provide frequent feedback? <i>Ask employees:</i> What is the best way to receive continuous feedback?</p> <p><i>Ask:</i> What can you do now to start or continue preventative actions? What should you do if problems are already occurring?</p>	
<p><b>SAY</b></p> <p>Let's review the learning objectives for this lesson.</p> <p>You should now be able to:</p> <ul style="list-style-type: none"> <li>• Identify key aspects of the Monitoring Phase.</li> <li>• Explain the value of monitoring performance continually.</li> <li>• Explain the process used to address performance issues.</li> <li>• Identify elements of a formal Performance Improvement Plan (PIP).</li> <li>•</li> </ul>	<p><b>SHOW SLIDE 43</b></p>
<p><b>SAY</b></p> <p>Before we leave this lesson, are there any questions?</p>	<p><b>SHOW SLIDE 44</b></p>

<b>Instructor Notes</b>	<b>Content</b>
<p><b>SAY</b></p> <p>Here are some additional resources and learning tools.</p> <p><b>DO</b></p> <p>Collect any Parking Lot questions.</p>	<p><b>SHOW SLIDE 45:</b></p>