


# Taking Our Ethical & Efficient Culture to the **Next Level**



# CULTURE

*The set of shared attitudes, values, goals, and practices that characterizes an organization.*



# Positive Culture = Desired Outcomes

1

Employees feel **more valued**, increasing retention.

2

Employees are **more motivated**, increasing production.

3

Your organization is **viewed more positively by others**.

4

Other **high performers want to join** your organization.

5

Other **organizations want to partner** with your organization.

6

*It's **more fun!***

A photograph of Peter F. Drucker, an elderly man with white hair, wearing a suit and tie, sitting in a chair in a library. He is looking slightly to the right of the camera. The background is filled with bookshelves packed with books. The entire image has a blue color overlay. A white quote is centered over the image, flanked by white L-shaped brackets.

*“Culture eats strategy for breakfast, lunch, and dinner.”*

Peter F. Drucker





**Indiana State  
Personnel Department**

**STATE OF INDIANA  
EMPLOYEE HANDBOOK**

A STATE THAT WORKS

**Personnel Policy Manual**

July 1, 2018



**Indiana**  
A State that Works

# AGENDA

1



**A State  
That Works**

2



**NEXT LEVEL  
Team**

3



**NEXT LEVEL  
You**



A State That Works

Digital Crossroads

LAKE MICHIGAN



**2nd**

Long-Term  
**Fiscal Stability**



5th

Nationally for  
**Business**



Small Business  
**Friendliness**





**1st**

**Best Business**  
Regulatory **Environment**





**2nd**

**Infrastructure**







**4<sup>th</sup>**

**Quality of Life**





**1st**

Government  
**Efficiency**





**3,000 New Jobs**

**\$245M Capital Investment**

**ANNOUNCED**

# GOVERNOR HOLCOMB'S 5 PILLARS

## CULTIVATE

A strong and diverse economy to ensure that Indiana remains a magnet for jobs.

## FUND

A long-term roads and bridges plan that takes the greatest advantage of our location.

## DEVELOP

A 21<sup>st</sup> century skilled and ready workforce.

## ATTACK

The drug epidemic.

## PROVIDE

Great government service at a great value to taxpayers.





**Next Level Team**

**ESTABLISH THE TEAM'S  
CORE PURPOSE, VALUES, & VISION**

**Team Core Purpose:** Why We Do What We Do

**Team Values:** How We Execute

**Team Vision:** What We Want to Be

*Ideally, these are collaboratively  
developed by the leadership team.*

**1**



# CORE PURPOSE

*To create the opportunity for all Hoosiers to earn a good living and prosper in a diverse economic environment that encourages growth, creates and retains the jobs of today, and attracts and invests in the jobs of tomorrow.*



# VALUES

Integrity & Trust

Excellence

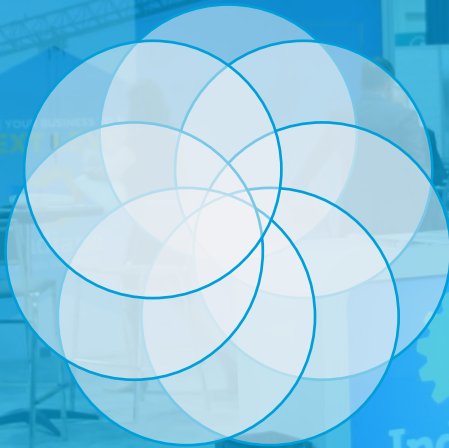
Service

Leadership

Confidence

Diversity

Teamwork







# VISION

*To be the most unique, most advanced, and most accomplished economic development organization in America.*



# OUR MISSION

To serve all Hoosiers by providing best-in-class driver and vehicle services in a timely and accurate manner while ensuring security and transparency

DRIVEN TO SERVE  
INDIANA BUREAU OF MOTOR VEHICLES



**Provide service excellence** and **support** to our partner agencies by:

Ensuring **effective** and **efficient**  
**management**  
of state resources

While providing  
**transparency** and  
**accountability** to  
Hoosiers



*Our*  
**Mission**



**Accountability**  
**Ethics**  
**Impartiality**  
**Professionalism**  
**Service**  
**Transparency**

*Our*  
**Guiding Principles**





A photograph of a statue in front of a classical building under a clear blue sky. The statue is a woman in a long dress, holding a staff and pointing upwards. The building has many columns and arches. The sky is a clear, bright blue.

Be an agency that supports  
Indiana's objectives of  
improving **economic  
growth**  
and attracting new  
**investment**



*Our*  
**Vision**

# DEPARTMENT OF REVENUE PYRAMID OF EXCELLENCE



## PERSONNEL POLICIES MATTER

**Your core purpose and values are advanced through your approach to personnel management.**

There are many important policies, but let's focus on three essential policies to developing culture:

- Diversity & Inclusion
- Performance Management
- Flexible Work Schedules & Locations

2

# MANY POLICIES DESIGNED TO REINFORCE CULTURE



## General Employment

- At-will Employment Policy
- Exit Policy
- Progressive Discipline Policy



## Work Schedule & Time Away

- Alternative Work Schedule Policy
- Alternative Work Location Policy
- Tuition Reimbursement Policy



## IT & Communications

- Communications Policy
- Information Resources Use Agreement
- Social Media Policy



## Diversity, Ethics, & Other Values

- Equal Employment Opportunity Policy
- Reasonable Accommodation Policy
- Workplace Harassment Prevention Policy



## Health & Safety

- Safe Workplace Policy
- Substance Abuse Policy
- Lactation Accommodation Policy



## IEDC Board-level Policies

- Alcohol Policy
- Electronic Meetings
- Confidentiality & Conflict of Interest





**Diversity &  
Inclusion**

## **DIVERSITY & INCLUSION**



### **We Encourage Diversity**

Age, color, disability, ethnicity, family or marital status, gender identity or expression, language, national origin, race, religion, and more.



### **Differences = Strength**

The sum of our individual differences, innovation, and talent represents a significant part of our culture.



### **More Credible**

We are stronger, more credible, and more effective with a workforce made up of qualified individuals whose backgrounds reflect our state's diversity.



### **More Equitable**

Diversity and inclusion helps ensure we have an equitable and accessible workplace where all are valued and there is a level playing field for individual success.



*You should select the  
most qualified individual  
from a diverse pool of  
candidates.*



**Performance  
Management**

# PERFORMANCE MANAGEMENT



## A Key Part of **Your Job**

As an employee or the supervisor, you have an obligation to take the performance management process seriously.



## Proactive **Communications**

Performance management includes regular proactive communication with ongoing feedback with timely corrective action when necessary.



## Continuous **Improvement**

With performance management, you can continuously improve your organization and each individual.



## Performance **Pay**

Salaries and raises should be competitive and agencies should make effective use of the spot bonus program.

# Six Interpersonal Benefits

1

**Take the time to praise** and be recognized for great work

2

**Mutually assess** progress on the established goals

3

**Address one another's views** on work product and non-work product issues

4

**Resolve differences** of opinion professionally to move forward

5

**Reach a better understanding** and reinforce mutual trust

6

**Clarify significant next steps** over the next six months



*Effective performance  
management requires  
**organizational clarity.***



**Flexible Work  
Schedules &  
Location**



# FLEXIBLE WORK SCHEDULES & LOCATIONS FOR PROFESSIONALS



## People Are **Human**

You cannot expect to put an employee in a boring cube farm and expect them to be amazing.



## People Are **Different**

Different people need different outlets to be creative. Do not stifle this with a one-size fits all approach.



## People Have **Families**

Employees are juggling work, family, and other personal issues. Get real and be reasonable.



## Focus on **Results**

Manage to results and you will find that time entry is fair.



*Professionals rightfully  
expect to be **treated like  
professionals.***

# 3

## FOR UNDERSTANDING, CONTINUALLY COMMUNICATE

**Your organization must regularly communicate to reinforce core purpose and values.**

### **Engagement Opportunities:**

- During Hiring Process
- Onboarding
- The “IEDC 3” Email
- Quarterly Meetings

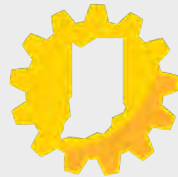
TAKING BUSINESS TO THE  
**NEXT LEVEL**

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**PERSONNEL UPDATES  
& QUARTERLY SERVICE  
AWARDS**

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**Chris W. Cotterill**  
*Chief Operating Officer*





## Quarterly Staff Meetings

DOR's staff comes together to celebrate team accomplishments, stay informed on administration and promote fellowship. Staff also learn about upcoming events, projects and initiatives, partake in staff recognition and hear from various division leaders.

DOR has been conducting these quarterly meetings since Commissioner Krupp arrived; however, they took on a new purpose in 2018. Not only were we able to get the meetings broadcasted live on our internal website to allow employees who are unable to attend in-person to watch from their computers, but we made the meetings more fun to encourage participation. In 2018, rarely could you find an open seat in the government center's auditorium during each meeting. We brought in guest speakers so our team could hear from their state leaders. Speakers included Governor Eric Holcomb, Secretary of State Connie Lawson and State Treasurer Kelly Mitchell.



Commissioner Krupp takes a selfie on stage with Indiana State Treasurer Kelly Mitchell.



Commissioner Krupp introduces Indiana Secretary of State Connie Lawson as a guest speaker.

Right: Governor Eric Holcomb receives a special DOR shirt for First Dog Henry.





## COMMITMENT TO OUR CORE VALUES

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### Diversity & Inclusion Policy

- **The purpose of this policy is to state the IEDC's commitment to fostering, cultivating, and preserving a culture of diversity and inclusion.**
- Our diverse and inclusive workplace:
  - helps ensure that the IEDC is an equitable and accessible workplace where all are valued and where there is a level playing field for individual success; and,
  - enhances our responsiveness, improves relations with others, increases our ability to cope with change, expands creativity, and increases our accessibility and accountability.

### Workplace Harassment Prevention Policy

- **The purpose of this policy is to establish a workplace where personnel are not harassed or discriminated against due to race, color, creed, religion, sex, national origin, age, sexual orientation or gender identity, or physical or mental disability.**
- You have the right to work in a professional environment that promotes equal opportunities and prohibits harassment.
- The IEDC encourages reporting of all incidences of alleged harassment, regardless of who the offender may be or the offender's status.

**CORE VALUES:** Integrity and Trust, Service, Confidence, Teamwork, Diversity, Leadership, & Excellence



## IN PURSUIT OF EXCELLENCE

### PERFORMANCE REVIEW PROCESS

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- The most effective organizations continuously improve by engaging in performance reviews on a regular basis.
- In our process, we engage in self-assessments that serve as the basis for discussion with each of our supervisors on a semi-annual basis.
- This process depends on
  - each employee taking the time to engage in a critical assessment of him/herself, and
  - the supervisor taking the time to carefully review the assessment and provide feedback.
- During the one-on-one discussion, both the employee and their supervisor should have a common view of the employee's past performance and their future goals.
- **Deadlines:**
  - Monday, July 9<sup>th</sup> at Close of Business – Self-evaluation turned into your supervisor
  - July 9<sup>th</sup> thru August 6<sup>th</sup>- Supervisors will meet with employees individually to discuss the mid-year performance evaluation
  - Monday, August 6<sup>th</sup> at COB – performance evaluations turned into HR



**Indiana**  
A State that Works

**MEMORANDUM**

**To:** Danielle McGrath, Matt Kimmick, Rollie Helmling, Mark Wasky, Abby Gras, Matt Wade, Jim Slaton, Dave Roberts, John Huang, Therese Reckley, Paul Baltzell, Brock Hertz, Mark Pishon, Devin Hillsdon-Smith, Aaron Vigil-Martinez, Georgia Chang, Troy Phelps, Chris Jeffers, Kyle Gaddis

**From:** Chris W. Cotterill, Chief Operating Officer

**CC:** James A. Schellinger, Secretary of Commerce  
Elaine E. Bedel, IEDC President

**Date:** July 2, 2018

**Re:** Performance Reviews: A Critical Component of Our Continuous Improvement

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*Here is an updated version of the memo I sent to those of you who were supervisors during performance review time last year. Please review it before you begin your performance reviews.*

Each of us has been afforded the opportunity to serve in a supervisory capacity here at the IEDC. As such, we have been entrusted with the responsibility to work proactively to continuously improve the IEDC and to foster meaningful personal professional development. The performance review process is a key part of a manager's toolset to help achieve both of these ends, and I write to share some thoughts with you about our process, which is now underway.

For your convenience, I have attached our Performance Management Policy, and I have highlighted various aspects to which I would like to call your attention. I will not recite those here, but I do ask that you make time to review the policy carefully.

As the policy says, performance management should occur every day. If you have not been having regular, productive conversations around more than the day-to-day aspects of work, this is the perfect time to start! Consider this one of the useful aspects of the formality of the process.

There are a variety of ways to approach the formal evaluation aspects of the performance review, and my approach is just one. Attached is Matt Kimmick's self-evaluation and my response from his performance review in December 2016. (Please know that I asked Matt if he would be willing to share it with you. Matt saw the benefit in trying to reach a common understanding amongst all of us and agreed. This remains a sensitive document; so, please do not share it.)

Whatever your approach, a brief performance review that only says something like "Keep up the good work!" is not sufficient. On that, we can all agree. So, while there's no one right way to do this, I hope what comes through is that this process can be tremendously useful and positive.

This process can help us:

- Take the time to praise great work;





# NextLevel

## INDIANA



### Special Thanks

I want to thank everyone for your efforts to make the most of our performance evaluation process. Your efforts to praise great work, to identify areas for organizational improvement and individual professional development, to resolve differences, and to clarify next steps are all part of making the IEDC a more productive and better place work. Thank you again for your efforts!



**Lamica Simmons**

Lamica, our Chief Happiness Officer, always has a cheerful smile and goes out of her way to help people.

She demonstrated considerable patience and skill in how she helped manage the office renovation.



**Troy Phelps**

Troy has been a major positive force leading the Indiana SBDC.

He has recently taken efforts to the next level by enhancing the collaboration between his team and BD's project managers and regional directors.

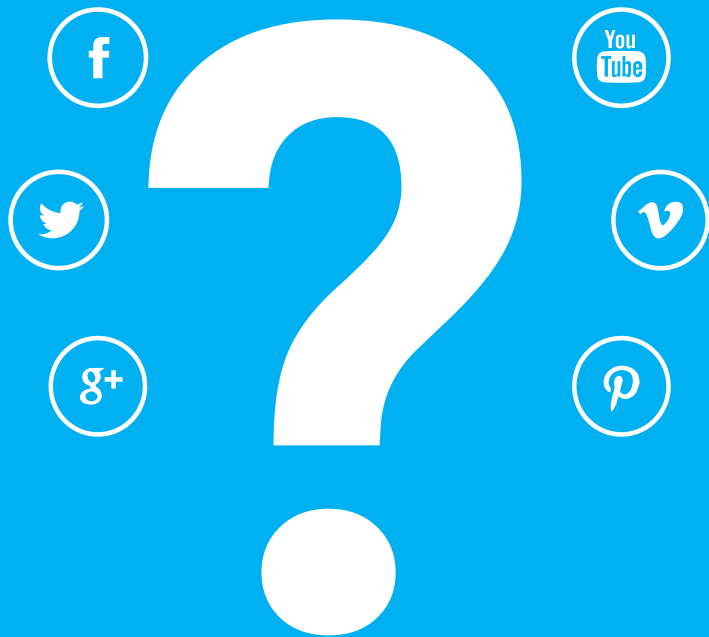


**Susie Vaughn**

Susie's work on Project Rabbit is a great example of how to stay focused on a deal.

She is tenacious in her follow up and she always has answers for what is happening on the local level in SW Indiana.

# *Speaking of Communication...*



*Do you have a social media policy?*

*If so, does it encourage appropriate use of social media?*

**FOR EFFECTIVENESS,  
REINFORCE THROUGH FAIR APPLICATION**

**4**

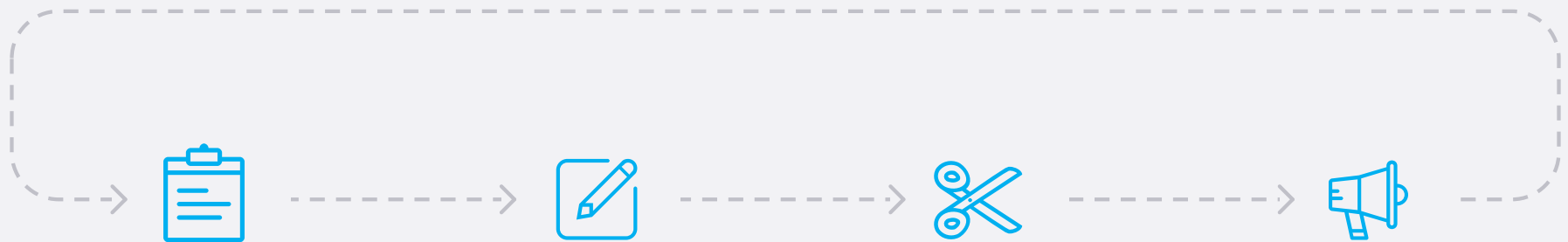
**To encourage desired behavior:**

- Reasonably, fairly, and consistently administer your policies.
- In most instances, work through an issue together, learn, and move forward together.
- Where there is “zero tolerance,” *take action*.
- Use appropriate discretion in all cases.

# WHISTLEBLOWER & NON-RETALIATION POLICY

*No employee who reports what they reasonably believe constitutes a violation of a law, rule, or policy will suffer any adverse employment consequences because of such report.*

# REGULARLY UPDATE YOUR POLICIES



## ASSESS

Review the state of your organization and decide what works and what needs to improve.

## DRAFT

Develop and revise the policies and procedures that help you develop a positive, professional environment where A players are encouraged to excel.

## REVISE

Expect to go through multiple rounds of changes. This is part of the process and it helps breed consensus and understanding.

## COMMUNICATE

Employ multiple channels of communication.

# NEXT



**Volunteer  
Time**



**Recruiting, Hiring,  
& Onboarding**



**Emergency  
Procedures**

# NEXT LEVEL TEAM

1

**Establish the Team's  
Core Purpose,  
Values, & Vision**

2

**Personnel  
Policies Matter**

3

***For Understanding,  
Continually  
Communicate***

4

***For Effectiveness,  
Reinforce through  
Fair Application***



***All this is fine, but I don't run HR.  
So, how is this relevant to me?***





*With a better understanding of what it takes for the organization to succeed, **you can take your game to the next level and make a real difference.***

A woman with dark curly hair and glasses is sitting at a desk, focused on her work on a laptop. She is wearing a black and white striped long-sleeved shirt. The background is a bright, modern office space with large windows and some greenery. The text "Next Level You" is overlaid on the image in a white and blue font.

**Next Level You**

**ESTABLISH YOUR  
CORE PURPOSE & VALUES**

**What purpose do you serve  
and what values are most  
essential to your success?**

**1**









**JOB  
EDUCATION  
HEALTH  
ENVIRONMENT**

BETTER

**BETTER**

**LIVES**



**PUBLIC**

**SERVANT**

# EXAMPLE

*Our mission is to provide professional legal services to help our clients make decisions in the best interests of the residents and taxpayers of the City of Indianapolis.*



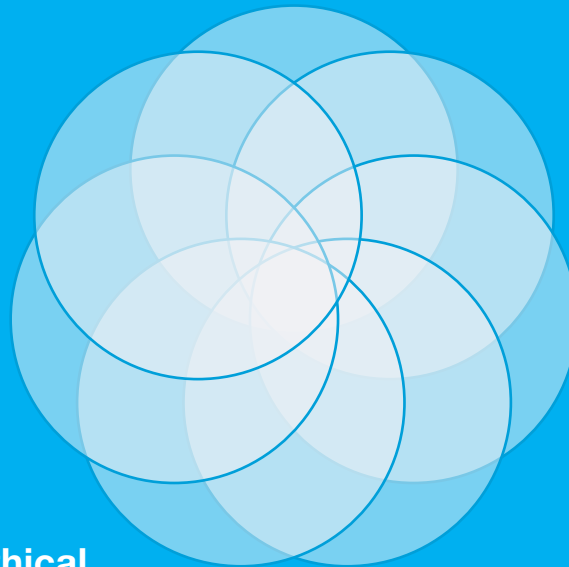
**We Listen &  
Communicate  
Effectively**

**We Focus on the  
Bottom Line Cost  
to the Taxpayer**

**We Are Calm,  
Positive,  
Professional, &  
Thorough**

**We Anticipate Our  
Clients' Needs to  
Minimize Risk**

**We Respond to All  
Inquiries in a  
Timely Manner**



**We Provide Ethical,  
Legal, Moral,  
Objective, &  
Practical Counsel &  
Advocacy Services**

**We Update Our  
Clients Regularly on  
Pending Matters**



**Excellent service requires real organization and preparation.**

- Present yourself as a total pro.
- Have you built in time for your professional development?
- Do you have a mentor?

2

INDIANA STATE RECORDS CENTER  
Indiana Commission on Public Records

INDIANA STATE ARCHIVES  
Indiana Commission on Public Records

INDIANA STATE ARCHIVES  
Indiana Commission on Public Records

Agency		Barcode (ICPR Use)	
Division			
Record Series Title			
Inclusive Dates		Records Series No.	
From	To	Arrangement of Files	
		<input type="checkbox"/> Numerical, From:	
		<input type="checkbox"/> Alphabetical, From:	
		<input type="checkbox"/> Chronological, From:	
Carton Number	No.	Notes	
Location Number		Destruction Date (month/year)	

State Form 46634 (RS / 12-10)



Agency		Barcode (ICPR Use)	
Division			
Record Series Title		Records Series No.	
Inclusive Dates		Arrangement of Files	
From	To	<input type="checkbox"/> Numerical, From:	
		<input type="checkbox"/> Alphabetical, From:	
		<input type="checkbox"/> Chronological, From:	
Carton Number	No.	Notes	
Location Number		Destruction Date (month/year)	

State Form 46634 (RS / 12-10)

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Division			
Record Series Title		Records Series No.	
Inclusive Dates		Arrangement of Files	
From	To	<input type="checkbox"/> Numerical, From:	
		<input type="checkbox"/> Alphabetical, From:	
		<input type="checkbox"/> Chronological, From:	
Carton Number	No.	Notes	
Location Number		Destruction Date (month/year)	

State Form 46634 (RS / 12-10)



INDIANA STATE ARCHIVES  
Indiana Commission on Public Records

INDIANA STATE ARCHIVES  
Indiana Commission on Public Records

INDIANA STATE ARCHIVES  
Indiana Commission on Public Records

Dress Code  
Policy

Clean Office & Workspace  
Policy

Agency		Barcode (ICPR Use)	
Division			
Record Series Title		Records Series No.	
Inclusive Dates		Arrangement of Files	
From	To	<input type="checkbox"/> Numerical, From:	
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State Form 46634 (RS / 12-10)

INDIANA STATE ARCHIVES  
Indiana Commission on Public Records

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Indiana Commission on Public Records

INDIANA STATE ARCHIVES  
Indiana Commission on Public Records

## FOUR RULES FOR EFFECTIVENESS

01

*Early is on time.  
On time is late.*

1

02

*Issue, Option, &  
Recommendations*

2

03

*Make the case for  
the desired result as  
a strategic  
counselor.*

3

04

*Embrace the  
Genius of the  
"AND" vs. the  
Tyranny of the  
"OR."<sup>1</sup>*

4

<sup>1</sup> Built to Last, Jim Collins & Jerry Porras



# 3

## IDENTIFY WHERE YOU CAN MAKE THE BIGGEST DIFFERENCE

### **Appointed Leader**

*Have you established organizational clarity and are you (over) communicating clear direction?*

### **Employee**

*Do you understand the importance of your role in the organization? Are you striving to improve?*

### **HR Professional**

*Are you providing clear guidance on existing policies and recommending improvements based on best practices?  
Are you helping to create authentic employee engagement opportunities?*

### **Lawyer**

*Are you helping to solve problems? Are you moving things quickly enough? Are you a strategic counselor?*

### **Supervisor**

*Are you communicating the priorities of the team to your employees? Are you focused on results or are you "majoring in the minors"? Are you inspiring change?*

### **Everyone**

*Are you focused on the team's priorities? Are you establishing real goals for yourself? Are you motivated to achieve success?*



**LEAD**

**FROM WHEREVER YOU ARE**

**4**

**Are you in a position of authority?**

- Good. Make good use of it.

**If you're not, you can still lead.**

- Do not allow the limits of your position to limit your ability to influence change.
- Meet your own expectations. And, lead by example.

# NEXT LEVEL YOU

1

**Establish Your Core  
Purpose & Values**

2

**Get Organized**

3

**Identify Where You  
Can Make the  
Biggest Difference**

4

**Lead from  
Wherever You Are**



Eric Holcomb

@GovHolcomb

Following

Leaving Austria, but I'll be baaaack.  
#INEurope



Eric Holcomb

@GovHolcomb Follows you

Hoosier, Husband, Navy Veteran, Dog Dad,  
51st Governor of the Great State of Indiana

in.gov/gov

Joined February 2016

Keep the **FUN** in Functional!

Governor Eric J. Holcomb

# KEY TAKEAWAYS

1

For starters, we're great.  
**We are A State That Works!**

2

To take our efforts to the next level, **we need to focus on our culture.**

3

A positive corporate culture drives **positive outcomes.**

4

Start with **core purpose, values, and vision** and the key policies.

5

**Continually communicate.** Refine your policies and apply them fairly.

6

Leadership is required at every level. **YOU can make a difference.**

THANK YOU



**Chris W. Cotterill**  
Chief Operating Officer

ccotterill@iedc.in.gov  
@cwcotterill