

Blue: Performance Planning Phase
 Green: Coaching, Feedback, Mid-Yr
 Red: Reviewing & Appraising

State of Kansas Performance Management Process

Identification Information (please print)		
Employee Name (Last, First, MI): <i>Sample, Joe</i>	Person Completing Review: <i>Manager, Jane</i>	
Employee ID: <i>W00000111111</i>	Agency Name: <i>Kansas State University</i>	
Class Title: <i>Supervisor</i>	Position Number: <i>W00000000</i>	Date of this Review: <i>10/14/09</i>
<u>10/08</u> To <u>10/09</u> (Month/Year) Timeframe Being Evaluated (Month/Year)	Review Type: <input type="checkbox"/> Probationary <input type="checkbox"/> Recommend permanent status <input type="checkbox"/> Extend probationary status <input type="checkbox"/> Not recommended for permanent status <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Special <input type="checkbox"/> Unclassified	
Overall Performance Rating: <input type="checkbox"/> Unsatisfactory <input type="checkbox"/> Needs Improvement <input checked="" type="checkbox"/> Meets Expectations <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Exceptional		

Part I: Performance Planning

Instructions: Identify objectives for the employee based on the manager/employee performance planning discussion. Please ensure each objective is a SMART objective (Specific, Measurable, Attainable, Relevant, Time-Based). In setting the objectives, be as specific as possible using quantitative (e.g., numbers, data, quotas, dates) and/or qualitative measures or feedback where helpful.

Indicate how progress against the objectives will be observed or measured (tracked). Modify objectives as needed throughout the performance management cycle. The number of objectives should be based on the outcomes of the performance planning discussion; you may add more lines below (objectives) as necessary. In the Annual Performance Review, indicate employees overall performance against each objective.

Objectives List Objectives in the Table Below		Measurement	
		A measurement scale and target should be established for each objective.	
Obj	Description	Tracking Method	Annual Performance Review
1	<i>On a daily basis, complete all data fields on every data entry screen making little to no typo errors.</i>	<i><90% = NI 90-100% = ME 100% and no errors = EE</i>	<i>Completed all data fields 95% of the time = ME</i>
2	<i>Increase the number of tax returns processed by 10% by the end of the fiscal year.</i>	<i><8% - Unsatisfactory 8-9% - NI 10% - ME 11-12% - EE >12% - Exceptional</i>	<i>Increased tax returns processed by 10.5% = ME</i>
3	<i>Attend CPR training to obtain annual certification by the end of the fiscal year.</i>	<i>Yes - ME No - NI/Unsat.</i>	<i>Enrolled in CPR class, but so late in year that course was full. = NI</i>
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Part I: Performance Planning (continued)

Instructions: Considering the employee's overall strengths and weaknesses, identify the critical competencies (select one or more Core Competencies, pages 4-7, Leadership Competencies, page 8, Essential Requirements, page 3, or Unit/Department/University Competencies), for this review period that the employee should focus on. Consider those competencies that are critical for achievement of responsibilities and objectives for the coming year in addition to those that are important from a developmental perspective (important for a future position and/or for increased or changed responsibilities). The competencies chosen should be based on information from manager/employee performance planning discussion(s), any items identified through the development planning process, and any items from the most recent performance review.

For each competency, provide any project or on-the-job suggestions that the employee can engage in to help in development.

Competency	Project or On-the-Job Suggestions
<p>1. Leadership - Promotes Team Effectiveness</p> <p>Ex: Leadership Competency</p>	<p>A. Encourage the team to approach a problem as an opportunity. Allow them to take reasonable risks and be innovative in their approach to problems and opportunities.</p> <p>B. Read "Good to Great" by Jack Collins.</p>
<p>2. K-State Values (Essential Requirement) - Focus on demonstrating integrity and doing the right thing.</p> <p>Ex: Essential Requirement</p>	<p>Attend "Respect in the Workplace" training</p>
<p>3. Communication - Tailors Communication</p> <p>Ex: Core Competency</p>	<p>When interacting with others, be open to their opinions and viewpoints. Adapt your own responses to others' needs and be willing to accept an outcome that may be different from your initial expectations. Understanding and adapting to others' needs will increase your effectiveness.</p>
<p>4. Change Management</p> <p>Ex: Department/Unit/University Competency</p>	<p>Identify three changes that will improve the operations and results of the unit and lead an effort to implement one change.</p>

On-Going Feedback and Coaching Process

Instructions: Identify the process to be used throughout the year to provide feedback and coaching to the employee. Identify any customer input tools that will be used to provide feedback throughout the year. In addition, identify the timing for the mid-year review and/or any other coaching sessions. Identify any employee responsibilities in the process. For instance, you may wish to identify when and how on-going feedback will be delivered, who has responsibility for setting up coaching sessions, when the mid-year review will happen, if current customer input tools will be used, etc.

On-Going Feedback and Coaching Process

Throughout the year, we will have one-on-one meetings on a monthly basis to discuss progress on performance objectives and competencies. In addition, I will provide constructive feedback, both positive and negative, in the moment to help Joe grow and develop. Joe will solicit feedback after meetings and activities he is working on from his manager.

Part II: Mid-Year Discussion

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Instructions: Document progress against the Objectives and Competencies as defined in the Performance Planning process. Be as specific as possible about the employee's actual performance to date, documenting specific observable results wherever possible, and adding qualitative information or feedback wherever helpful. Any valid updates to employee's objectives, which are based on changes in State or K-State's needs, may also be documented in this section.

Mid-Year Discussion and Coaching Progress

04/15/09. Met with Joe and discussed his impressions and thoughts around his performance to date. We then reviewed the performance objectives and competencies that were on target. These included:

- 1. He held two quarterly team building activities to date.*
- 2. He had some problems with attendance that had been discussed and was not meeting expectations. He was attending work on time.*
- 3. In a few of our discussions, Joe brought forward several opportunities for change that would benefit the department/unit. These included...*

We also discussed areas for improvement. This included enrolling in CPR training, so that he could renew his certification by the end of the year.

In terms of ongoing communication and feedback, we decided to continue to meet on a monthly basis. In coaching sessions, we will discuss the chapters of the "Good to Great" book that he is reading as part of the Team Leadership on-the-job suggestion.

Due to budget cuts, the Respect in the Workplace training is no longer offered. As a result, we determined...

Part III: Essential Requirements

Instructions: Considering the level the employee typically or consistently operates at, check (✓) the box which best describes his/her behavior for the competency below. A behavioral example must be provided for the Unsatisfactory rating.

Dependability: Recognizes their responsibilities to K-State and applies effective work habits and attitudes to meet work requirements. Accomplishes tasks by showing concern for all aspects of the job and manages workload or completes tasks in a timely manner.

- Attends work regularly and on time
- Plans appropriately for absences
- Assumes personal accountability for work

Unsatisfactory * <input type="checkbox"/>	Meets Expectations XX
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Example: *While there was a discussion with Joe about attending work on time on 01/15/09, he corrected his performance. He has been on time every day since that discussion. Joe is thorough in the review of his work to ensure that he produces accurate information.*

K-State Values: Individuals adhering to K-State's values align their actions with high standards of conduct, accept responsibility for behavior and exhibit personal integrity at all times. Acts as a role model for other employees and does the right thing, even when no one is watching. Individual does not waste K-State's resources (i.e., time, material).

- Demonstrates personal integrity and ethical behavior
- Displays good stewardship of public resources
- Adapts to changes in processes, procedures or responsibilities

Unsatisfactory * <input type="checkbox"/>	Meets Expectations XX
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Example: _____

** An Unsatisfactory rating in Dependability or K-State Values will result in an Overall Performance Rating of Unsatisfactory*

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Part IVa: Annual Performance Review - Competencies

Instructions: Considering the level the employee typically or consistently operates at, check (✓) the box which best describes his/her behavior for the competency below. A behavioral example should be provided for each competency.

CORE COMPETENCIES (FOR ALL EMPLOYEES):

Job Responsibilities: Please rate the individual on execution of their expected day-to-day responsibilities, and specialized knowledge as outlined in the job description. Specialized Knowledge is the knowledge of and/or skill in a particular field (e.g., marketing, engineering, etc.) or trade (e.g., electrician, housekeeping, etc.) and the ability to apply that knowledge and/or skill in a variety of business situations.

<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Learner:</p> <ul style="list-style-type: none"> ▪ Limited ability to conduct job responsibilities; needs more experience or practice. ▪ Requires clear and specific instructions to get the job done. ▪ Understands enough to independently handle some routine tasks of the job. ▪ Understands regulations and policies; correctly applies them. 	<p>Experienced Knowledge:</p> <ul style="list-style-type: none"> ▪ Technically experienced and competent. ▪ Has thorough working knowledge of the area. ▪ Handles most routine tasks of the job; needs direction for more difficult tasks. ▪ Supervises others effectively through proper delegation, communication, and follow-up. 	<p>Expert Knowledge:</p> <ul style="list-style-type: none"> ▪ Can exercise independent judgment regarding all technical issues and responsibilities. ▪ Understands how area of responsibility relates to broader issues. ▪ Requires assistance for the most difficult aspects of the job. ▪ Supervises others with a focus on coaching for effective performance. 	<p>Transferring Knowledge:</p> <ul style="list-style-type: none"> ▪ Independently handles the most difficult aspects of the job. ▪ Understands how the area of knowledge relates to broader university goals. ▪ Plays a role in transferring skills and knowledge to others. ▪ Takes responsibility for projects and tasks that have broader university impact.

Behavioral Example: Since Joe is new to the job, this is an acceptable level for this competency

Communication: Understands others' ideas and expresses thoughts and information effectively, utilizing appropriate gestures, tone, organization, grammar, format and materials. Maximizes performance through effective communication and develops a communication style that optimizes individual and team performance. It includes expressing ideas, requesting actions, summarizing events, and formulating plans by means of clear and effective writing, communicating, or presenting.

Employee does not demonstrate any of the levels below; this competency will be included in the employee's development plan.

<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Shares Information:</p> <ul style="list-style-type: none"> ▪ Shares relevant information and keeps others informed. ▪ Listens to others' opinions. ▪ Explains reasons for decisions. 	<p>Facilitates Participation:</p> <ul style="list-style-type: none"> ▪ Communicates objective and purpose and how individual is critical to team success. ▪ Encourages participation from all team members. ▪ Runs effective meetings; uses agendas, outlines expectations, keeps group focused. ▪ Negotiates for win-win solutions. 	<p>Tailors Communication:</p> <ul style="list-style-type: none"> ▪ Understands audience and tailors communication so that it is perceived as being clear, relevant, and even handed. ▪ Develops a communication style to facilitate a positive team environment and advance the team's agenda. ▪ Adjusts style/approach to build partnerships with others and to ensure acceptance of ideas. 	<p>Uses Communication to Promote K-State's Effectiveness:</p> <ul style="list-style-type: none"> ▪ Uses communication to promote broad learning, effectiveness and efficiency. ▪ Communicates with different people at different levels throughout the university to ensure the buy-in of others. ▪ Communicates broadly to ensure others understand the link between the current task and long-term strategies.

Behavioral Example: _____

Customer Service: Addresses underlying customer needs that add value, to remove causes of customer's problems and ensure the long-term viability of the relationship. It includes demonstrating understanding of the customer's point of view, delivering on commitments, gaining the confidence of customers, and maximizing customer satisfaction. Customers include external and internal customers or clients, suppliers, etc.

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Employee does not demonstrate any of the levels below; this competency will be included in the employee's development plan.

<input type="checkbox"/>	XX	<input type="checkbox"/>	<input type="checkbox"/>
Maintains Communication: <ul style="list-style-type: none"> ▪ Follows through on customer inquiries, requests, and complaints. ▪ Keeps customer up-to-date about progress of projects. ▪ Gives friendly, cheerful service and distributes helpful information to customers. ▪ Maintains clear communication with customers regarding mutual expectations. 	Takes Personal Responsibility: <ul style="list-style-type: none"> ▪ Takes personal responsibility for correcting customer-service problems. ▪ Corrects customer-service problems promptly and un-defensively. ▪ Makes self fully available to the customer, especially when they are going through a critical period. 	Addresses Underlying Customer Needs: <ul style="list-style-type: none"> ▪ Seeks information about the real, underlying needs of the customer beyond those expressed initially. ▪ Makes concrete attempts to add value to the customer, to make things better for the customer in some way. ▪ Gets at the root of a customer problem and removes the cause of the problem. 	Uses Long-Term Perspective: <ul style="list-style-type: none"> ▪ Develops strategies and solutions that have long-term benefits for the customer. ▪ Addresses customer problems with a focus on the long-term relationship. ▪ Proactively builds customer relationships and maintains good relationships with the customer over the long term.

Behavioral Example: _____

Initiative: Identifies a problem, obstacle or opportunity and takes action to address current or future problems or opportunities.

Employee does not demonstrate any of the levels below; this competency will be included in the employee's development plan.

<input type="checkbox"/>	<input type="checkbox"/>	XX	<input type="checkbox"/>
Addresses Current Opportunities or Problems: <ul style="list-style-type: none"> ▪ Recognizes when a situation calls for a different approach from the usual. ▪ Pulls together ideas, issues and observations when a new perspective emerges. ▪ Recognizes and acts on current opportunities 	Is Decisive in a Crisis: <ul style="list-style-type: none"> ▪ Acts quickly and decisively in a crisis situation. ▪ Makes decisions and takes action where the norm is to wait and hope the problem will resolve itself. ▪ Is prepared to try out different solutions or take a different approach. 	Plans Ahead and Takes Action: <ul style="list-style-type: none"> ▪ Looks for opportunities to make improvements. ▪ Looks beyond the facts in order to develop solutions that have currently not been used in the department or unit before. ▪ Generates new and varied solutions to problems. ▪ Identifies changes that will improve performance in own department or unit. 	Anticipates and Prepares for Long-Term Problems: <ul style="list-style-type: none"> ▪ Anticipates situations 6 months to a year ahead or more and acts to create opportunities or avoid problems that are not obvious to others. ▪ Applies and modifies learned concepts, methodologies or ideas that have been used in other departments, units or universities, to develop new solutions to problems.

Behavioral Example: *In our monthly one on ones Joe has been proactive in finding opportunities to make improvements in our unit which ties to our competency Change Management.*

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Teamwork: Achieves team objectives by developing and sustaining cooperative relationships. Employee works cooperatively with others as part of the team, as opposed to working separately or competitively. At the highest levels, it includes an ability to ensure the cohesiveness of the team and to ensure success.

Employee does not demonstrate any of the levels below; this competency will be included in the employee's development plan.

<input type="checkbox"/>	<input type="checkbox"/>	XX	<input type="checkbox"/>
<p>Cooperates:</p> <ul style="list-style-type: none"> ▪ Cooperates willingly with others. ▪ Ensures all group members have the relevant and needed information. ▪ Speaks positively of other team members. 	<p>Solicits Input:</p> <ul style="list-style-type: none"> ▪ Solicits ideas and opinions from others to help form specific decisions or plans. ▪ Genuinely values others' input and expertise and is willing to learn from others. 	<p>Encourages Others:</p> <ul style="list-style-type: none"> ▪ Takes specific steps to create a team environment and model desired behavior. ▪ Encourages all members of the group to contribute. ▪ Publicly recognizes the contributions of other team members. 	<p>Promotes the Team:</p> <ul style="list-style-type: none"> ▪ Acts to promote a friendly climate, good morale and cooperation within the team. ▪ Protects and promotes the team's reputation with others. ▪ Resolves team conflicts. Brings conflict within the team into the open and encourages or facilitates a beneficial resolution. ▪ Partners with other teams and promotes collaborative decision making to solve problems.

Behavioral Example: _____

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LEADERSHIP COMPETENCIES (FOR MANAGERS ONLY):

Performance Management: Promotes employee development opportunities and fosters the long-term learning or development of others. Sets clear goals and expectations, ensures feedback and addresses performance issues in a timely manner. It includes the ability to apply State of Kansas regulations and policies, to delegate effectively, to deal with performance issues, and to hold others accountable.

Employee does not demonstrate any of the levels below; this competency will be included in the employee's development plan.

XX	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sets Clear Objectives and Expectations: <ul style="list-style-type: none"> ▪ Gives detailed explanations of specific goals and objectives to others. ▪ Delegates effectively to employees to enable focus on managerial responsibilities. 	Holds People Accountable for Performance: <ul style="list-style-type: none"> ▪ Sets goals or objectives for employees that drive high performance. ▪ Holds employees accountable for their performance. ▪ Reviews employees' performance against clear standards and objectives, and rectifies performance issues. ▪ Provides timely feedback and performance evaluations to employees. 	Coaches for Effective Performance: <ul style="list-style-type: none"> ▪ Provides real-time coaching to others to improve performance. ▪ Addresses performance problems early to ensure minimal department, unit or university impact. ▪ Utilizes employee recognition to reinforce positive outcomes and behaviors. ▪ Identifies training or development needs for team or group of employees. 	Creates Climate for High Performance: <ul style="list-style-type: none"> ▪ Implements specific tactics to create a climate for high performance. ▪ Interfaces with other leaders to develop best-practice people practices for the good of the department, unit or university. ▪ Develops employees for future roles.

Behavioral Example: *Joe is relatively new to managing employees and needs to further develop himself to hold others accountable and to be able to deliver difficult messages.*

Leadership: Outstanding State of Kansas managers view themselves as leaders of people. They recognize that they are responsible for facilitating the work of their employees, which may mean providing essential information, creating efficient work structures or processes, or securing additional resources. These leaders inspire confidence in people and create excitement about the work and purpose.

Employee does not demonstrate any of the levels below; this competency will be included in the employee's development plan.

<input type="checkbox"/>	XX	<input type="checkbox"/>	<input type="checkbox"/>
Keeps People Informed: <ul style="list-style-type: none"> ▪ Provides clear, consistent, and ongoing communication to team members. ▪ Lets people affected by the team know what is happening and the status of decisions. ▪ Makes sure the team has all the information it needs to make decisions and carry out its responsibilities, individually and collectively. ▪ Explains the reasons behind a decision promptly and candidly. 	Promotes Team Effectiveness: <ul style="list-style-type: none"> ▪ Creates the conditions that enable the team to perform at its best (e.g., setting clear direction, delegating responsibility, getting the right people). ▪ Makes team membership (including selection and dismissal) and assignments in a manner that promotes morale and productivity of the team. ▪ Obtains input from others to promote the effectiveness of the team. 	Takes Care of the Team: <ul style="list-style-type: none"> ▪ Obtains needed resources and information that the team needs to meet its goals. ▪ Provides or secures needed support and development for individuals or the team as a whole. ▪ Holds team members accountable for their contributions to team success, including bringing team resources to their assistance. 	Inspires the Team: <ul style="list-style-type: none"> ▪ Generates excitement, enthusiasm, and commitment to department, unit or university goals. ▪ Develops a workforce plan that positions the department, unit or university for long-term success. ▪ Inspires confidence in the mission of the department, unit or university. ▪ Models desired behavior.

Behavioral Example: *Joe has held the 4 quarterly meetings that were identified in performance objectives and did an excellent job of listening to others and promoting the effectiveness of the team.*

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Part IVb: Annual Performance Review - Summary Discussion Points

Based upon your ratings in the previous sections, identify the employee's major strengths in this job, and areas for improvement. In addition, include any additional accomplishments. Comments summarized here will help focus your end of year performance review discussion, and help you prioritize relevant objectives and development priorities for the coming year.

Additional Accomplishments:

Joe served on an university wide committee to promote information sharing. He also gave a presentation to the Leadership group on Communication that was well received.

Employee's Major Strengths in this Job:

Joe has the natural ability to take on a leadership role and to bring people together to work on a common goal. He has learned to slow down, listen to others and tailor his message to his audience. As a result he has strong communication skills.

Areas Where Improvement Would Benefit Job Performance:

Because Joe is relatively new to his leadership role it will be important for him to balance his Affiliative style with an ability to hold employee's accountable.

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Part IVc: Annual Performance Review: Overall Performance Review Rating

Instructions: Indicate which level most appropriately describes the overall performance level of the individual. Add any comments that provide clarification to the Overall Review (may include unique circumstances, relevant career objectives, or other considerations).

Overall Performance Level:

Unsatisfactory <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>	Meets Expectations XX	Exceeds Expectations <input type="checkbox"/>	Exceptional <input type="checkbox"/>
<ul style="list-style-type: none"> ▪ Employee is not making the contributions expected of an employee in this role. ▪ Employee may not be appropriately placed in the job. ▪ Immediate improvement is required. 	<ul style="list-style-type: none"> ▪ Employee is inconsistent in performance. ▪ Employee sometimes meets expectations and requirements. ▪ Continual improvement is required to fully meet expectations. 	<ul style="list-style-type: none"> ▪ Employee is making meaningful and valuable contributions. ▪ Employee has shown consistent and continual performance throughout the review period. 	<ul style="list-style-type: none"> ▪ Employee is making significant contributions and often exceeds objectives and expectations. ▪ Employee demonstrates a high level of competency. 	<ul style="list-style-type: none"> ▪ Employee is making outstanding contributions on a continual basis. ▪ Employee's achievements are clearly distinguishable from solid performers, and are highly valued by others. ▪ Employee consistently performs at a high level of competency.

Manager Comments: Joe communicated his desire to learn more and be able to promote to a more challenging position. He has many of the building blocks to be successful.

Employee Comments: _____

Signatures

Performance Planning Discussion

Employee's Signature*: _____ Date: 1/25/09

Manager's Signature (completed by): _____ Date: 1/25/09

Mid Year Discussion

Employee's Signature*: _____ Date: 04/15/09

Manager's Signature (completed by): _____ Date: 04/15/09

Annual Performance Review Discussion

Employee's Signature*: _____ Date: 10/16/09

Manager's Signature (completed by): _____ Date: 10/14/09

Reviewer's Signature (reviewed by): _____ Date: 10/15/09

**Note: Signature does not imply agreement with the content of the review. It only indicates the employee's awareness of the information contained herein. Any classified employee who believe that he/she has been unfairly reviewed may, within (7) calendar days after being advised of the review, address an appeal in writing to KSU Employee Relations and Training, 103 Edwards Hall.*