



# The New Performance Management Process

An Employee Overview

Kansas State University 2009

## The steps in the new process

- Performance Planning
- Coaching & Feedback
- Reviewing & Appraising Performance
- Rewarding



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1. Performance Planning – opportunity for Employee and Supervisor to identify and clarify the expected performance
2. Coaching and Feedback – day to day process for Employee and Supervisor to communicate
3. Review & Appraise – process of evaluating performance against the established expectations
4. Reward – Monetary (not yet defined by the State) and non-monetary

# Performance Planning

## 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	Complete a detailed physical inventory of office equipment by MM/DD/YY.	complete = U complete = NI complete = ME complete w/ high level & no errors = EE	Completed inventory by due date = ME
2	Maintain accurate tax returns processed.	satisfactory 11-12% EE >12% - Exceptional	Increased tax returns processed by 10.5% = ME
3	Attend CPR training and obtain annual certification by the end of the fiscal year.	Yes- ME No- NI/Unsat.	Enrolled in CPR class, but so late in year that course was full = NI

**SMART Objectives:**  
"WHAT" job responsibilities/goals need to be achieved throughout the year using skills & knowledge.

The first step in the new process is performance planning.

Refer to Page 1 of the Form

# Performance Planning

- Objectives
  - SMART
    - Specific, Measurable, Attainable, Relevant and Time based
  - Tracking Methods



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- Supervisor and Employee discuss objectives for the review year.
- Supervisors have been trained on how to write objectives and establish tracking methods
- Employee should know exactly what is expected of them and what they need to do to meet or exceed expectations

# Performance Planning

## 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 Suggestion
<b>1. Leadership - Promotes Team Effectiveness</b> Ex: Leadership Competency	A. Encourage the... with a problem as an... reasonable risks and be... is and opportunities.
<b>2. K-State Values (Ess: demonstrating integrity at</b> Ex: Essential Requirement	S... ng
<b>3. Communication - Tailo</b> Ex: Core Competency	their opinions and... to others' needs... may be different... regarding and adapling... .. increase your effectiveness.
<b>4. Change Management</b> Ex: Department/Unit/University Competency	Identify three changes that will improve the operations and results of the unit and lead an effort to implement one change.

**Critical Competencies:**  
 "HOW" job responsibilities/goals are accomplished using competencies or behaviors.  
 The positive behaviors needed to accomplish responsibilities/goals.

Refer to Page 2 and 4-6

## Performance Planning cont.

- Competencies
  - 5 Core Competencies
  - 2 Leadership



5 Core Competencies – Job Responsibilities, Communication, Customer Service, Initiative, Teamwork

2 for Supervisors – Performance Management and Leadership

Supervisor will go through all 5 Core Competencies and inform EE what level is expected in each.  
It will be rated at the end.

**BE AWARE – NOT EVERY EMPLOYEE IN EVERY POSITION WILL BE EXPECTED TO BE AT THE TOP LEVEL**

If development is needed Supervisor will fill out in Critical Competencies on p.2  
Some might list a Critical Competency just for development

# Performance Planning

## 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 *	Meets Expectations
<input type="checkbox"/>	XX

**Example:** While there was a discussion with Joe about attending work on time on 8/15/09, 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 *	Meets Expectations
<input type="checkbox"/>	XX

**Example:** \_\_\_\_\_

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

Refer to Page 3

## Performance Planning Cont.

- Essential Requirements
  - Dependability
  - Agency Values

An Unsatisfactory rating in Dependability or Agency Values will result in an Overall Performance Rating of Unsatisfactory

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Read the definition on the form  
Supervisor will discuss with EE and rate at the end.

# Coaching & Feedback

## 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.

Joe will solicit feedback after meetings and activities he is working on from his manager.

Refer to Page 2

## Coaching & Feedback

- Coaching
  - Listening
  - Asking Questions
  - Gain Understanding

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On going discussion to help Employee be successful

# Coaching & Feedback

April 1 - June 30

## Part II: Mid-Year Discussion

**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...*

## Reviewing & Appraising Performance

- Mid-year Review
- Annual Review

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**REQUIRED MID YEAR DISCUSSION TO DISCUSS PROGRESS  
AND MAKE ADJUSTMENTS AS NECESSARY**

Annual Review – Supervisor and Employee meet to discuss performance through review period

Will Assign Overall Rating – see Page 9

## When to begin using the new process

- Focal Points
  - Performance Planning (OCT 1<sup>st</sup> thru DEC 31<sup>st</sup>)
  - Mid-Year Discussion (APRIL 1<sup>st</sup> thru JUNE 30<sup>th</sup>)
  - Annual Review Discussion (OCT 1<sup>st</sup> thru DEC 31<sup>st</sup>)

# Major Milestones



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## SUMMARY OF THE PROCESS

# Questions

## Division of Human Resources

Karla Bylund  
(785) 532-1869