The State of Kansas Performance Management Process

Objectives for Training

- Performance Review Form
- Components
- Special Reviews
- Document incidents
- Progressive Discipline

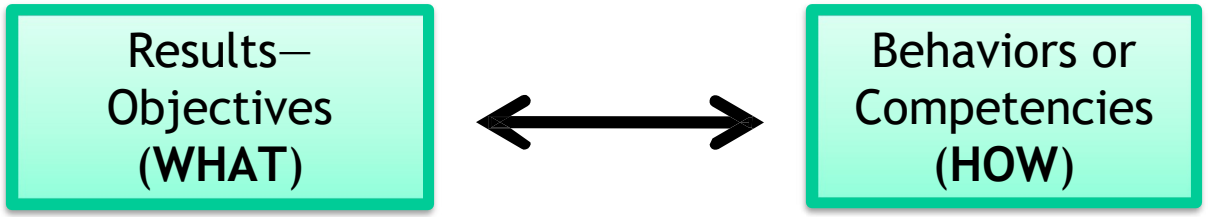
Components of the process

1. Performance Planning
2. Coaching & Feedback
3. Reviewing & Appraising Performance

First Component

Performance Planning

Task Objectives & Competencies/Behaviors



First Component

Performance Planning

Purpose of the Planning Discussion

1. Motivate the employee toward mutually agreed objectives

2. Address *what* an employee is to achieve (task objectives) and *how* it is to be achieved (competencies)

3. Link the agency's mission and values to specific employee objectives

4. Jointly set objectives that are challenging yet realistic

5. Foster open communication between supervisor and employee as a foundation for effective coaching

First Component

Performance Planning

Task Objectives

Task objectives are the actual work employees perform (tasks, duties, responsibilities, etc).

SMART

- Specific,
- Measurable,
- Attainable,
- Relevant and
- Time based

First Component

Performance Planning

Task Objective Example #1

Arrive to work by 8:00 a.m.

It is expected that you arrive to work on time, Monday – Friday, so that you may be at your desk and logging into your computer by 8:00 a.m. every day.

Yes/No

First Component

Performance Planning

Task Objective Example #2

Provides phone coverage to those contacting our office.

Provides daily phone coverage for assigned program area, except during scheduled breaks and lunch which includes providing accurate information and reasonable assistance to those contacting our office.

EE: Consistently provides the coverage and ensures there is backup coverage when taking leave or having to be away from the phones.

ME: Provides phone coverage everyday. No instance of having to obtain backup coverage.

NI: Have had to look for you on 4 or more occasions during the review period.

First Component

Performance Planning

Task Objective Example #3

Enter requisitions for commodities in SMART, including required fields in the purchasing module. Receive items in SMART as required. Use accurate funding and contract information on requisitions.

Enter requisitions for commodities within 24 hours of request. Enter appropriate information in SMART, including required fields in the purchasing module. Receive items in SMART as required. Use accurate funding and contract information on requisitions.

EE: Info consistently entered same day as rcvd with no errors.

ME: Info always entered within 24 hours with three or less processing errors.

NI: Info not always entered within 24 hours and/or more than 3 processing errors.

U: Info consistently entered later than 2 days of receipt and/or 5 or more errors.

First Component

Performance Planning

Task Objective Example #4

Ensure all paperwork received is processed properly.

Ensure all paperwork received is processed properly within 3 days of being received. Proper processing includes entering complete and accurate information, providing correct guidance when needed and filing of paperwork.

EE: Info consistently entered same day as rcvd with no errors.
ME: Info always entered within 24 hours with three or less processing errors.
NI: Info not always entered within 24 hours and/or more than 3 processing errors.
U: Info consistently entered later than 2 days of receipt and/or 5 or more errors.

First Component

Performance Planning

Write One SMART Task Objective:

Individuals

1. Individually think of an objective you can use with your employee(s).
2. Write it using SMART and include a tracking method.

Pair Up

1. Pair up share your objective with your partner.
2. Offer each other ideas on how to make it better.

First Component

Performance Planning

Competencies/Behaviors

Competencies are any knowledge, skill, trait, motive, attitude, value or other personal characteristic that assists in the performance of your job.

8 Competencies

- Problem Solving/Decision Making
- Attitude/Accountability
- Customer Service
- Job Knowledge/Professional Development
- Leadership
- Productivity
- Teamwork
- Communication

First Component

Performance Planning

Essential Requirements

Essential Requirements K.A.R. 1-7-10(a)(6)

- Dependability
  - Attends work regularly and on time
  - Plans appropriately for absences
  - Assumes personal accountability for work
- Agency Values
  - Demonstrates personal integrity and ethical behavior
  - Displays good stewardship of public resources
  - Adapts to changes in processes, procedures, or responsibilities

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

First Component

Performance Planning

Determining Dependability

- **Attends work regularly and on time**
  - Does the employee report to work on time?
  - When late or tardy does the employee follow established guidelines?
  - Does the employee return from breaks and lunch on time?
  - Does employee avoid going into unapproved leave without pay status?
- **Plans appropriately for absences**
  - Does the employee plan ahead for absences?
  - Does the employee request leave in accordance with established guidelines?
  - Does the employee consider work demands when scheduling and requesting planned leave?
- **Assumes personal accountability for work**
  - Does the employee take responsibility for work products and actions?
  - Does the employee follow instructions?
  - Does the employee meet established standards and deadlines?

First Component

Performance Planning

Determining Agency Values

- **Demonstrates personal integrity and ethical behavior**
  - Does the employee act with integrity, honesty, sincerity and fairness?
  - Does the employee show respect for others in work situations?
  - Does the employee communicate effectively with others?
- **Displays good stewardship of public resources**
  - Does the employee use state equipment, supplies, and time for appropriate business use?
- **Adapts to changes in processes, procedures, or responsibilities**
  - Does the employee adapt to new situations in a positive manner?
  - Is the employee open to ideas and suggestions from others?
  - Does the employee help others overcome the resistance to change?

First Component

Performance Planning

Competencies/Behaviors

	Competency/ Behaviors	On-the-Job Suggestions/Examples
X	Problem Solving/Decision Making	I encourage you to take more initiative to resolve problems. Use and update your work manual to assist you in resolving problems. Every time a procedure changes or is not clear in the manual take the time to update it. If you go to your supervisor for guidance document that in the manual so the next time you may refer to the manual as opposed to going to the supervisor.
	Attitude/ Accountability	

First Component

Performance Planning

Competencies/Behaviors

	Competency/ Behaviors	On-the-Job Suggestions/Examples
	Productivity	
	Teamwork	
X	Customer Service	Work proactively with customers (internal and external) to determine underlying needs. Involve co-workers and supervisors to brainstorm strategies for resolution of issues/challenges. Take ownership of the customer service you provide to customers.
	Job Knowledge/ Prof Development	

First Component

Performance Planning

Competencies/Behaviors

	Competency/ Behaviors	On-the-Job Suggestions/Examples
X	Leadership	It is expected as a supervisor of State of Kansas employees that you follow Kansas Administrative Regulation 1-7-10 (2): A performance review shall be completed and a rating assigned at least annually for all of the employees that you supervise.

First Component

Performance Planning

Write One Competencies/Behaviors Statement:

Individuals

1. Individually select a competency you can use with your employee(s).
2. Write an On the Job Suggestion/Example.

Pair Up

1. Pair up with someone new and share your competency with your partner.
2. Offer each other ideas on how to get clarity.

First Component

Performance Planning

Summary

1. Task Objectives
2. Competencies/Behaviors
3. Meet w/ Employee
4. Signature
5. October 1st – December 31st

Second Component

Coaching & Feedback

- Giving feedback
- Reinforcing effective performance
- Improving performance

Second Component

Coaching & Feedback

When to Give Coaching & Feedback

1. New employee
2. Significant change in work
3. Increased workload
4. Changed priorities and work conditions
5. To reinforce positive behavior
6. To address performance problems
7. When more guidance is required
8. To discuss barriers to successful performance

Second Component

Coaching & Feedback

What Makes Good Feedback

1. Timely: The feedback is delivered as close as possible to the situation to ensure maximum understanding.
2. Specific: The feedback is made up of specific behaviors and results
3. Objective: The feedback focuses on the behavior and the situation, NOT the employee
4. Private: The feedback is between the employee and manager only
5. Document: The discussion(s) need to be well documented

Third Component

Reviewing & Appraising

Mid-Year Review

1. Discuss employee's progress towards meeting expectations

2. Document for PMP file

3. Signature

4. April 1st - June 30th

Third Component

Reviewing & Appraising

Annual Review

1. Task Objectives
2. Competencies/Behaviors
3. Essential Requirements
4. Areas of Strength(s)
5. Areas for Development
6. Other Evaluation Comments
7. Goals/Objectives/Expectation for next year
8. Overall Rating
9. Signatures
10. October 1st – December 31st

Third Component

Reviewing & Appraising

Overall Ratings

- **Exceptional:** Performance far exceeded expectations
- **Exceeds Expectations:** Performance consistently exceeded expectations
- **Meets Expectations:** Performance consistently met expectations
- **Needs Improvement:** Performance did not meet expectations
- **Unsatisfactory:** performance consistently below expectations

Third Component

Reviewing & Appraising

Overall Ratings

What are some ways a supervisor can track employee performance?

Third Component

Reviewing & Appraising

Focal Points Reminder

- Performance Planning

  (OCT 1st thru DEC 31st)

- Mid-Year Discussion

  (APRIL 1st thru JUNE 30th)

- Annual Review Discussion

  (OCT 1st thru DEC 31st)

KOSE Requirements

MOA: Article 15: Performance Evaluation

1. Performance expectations must be related and shall be specific, attainable, relevant and fully consistent with an employee's duties as identified in his/her job description.
2. Employees shall be made aware within 21 calendar days from the date of discovery of any adverse info that may be used on the PRF and offered a chance for rebuttal.
3. Eval must be completed by someone who has supervised for at least 90 days or another person who has significant knowledge of employee's performance.
4. Evals must be presented to employee within 14 days of the end of the review date.

Special Reviews

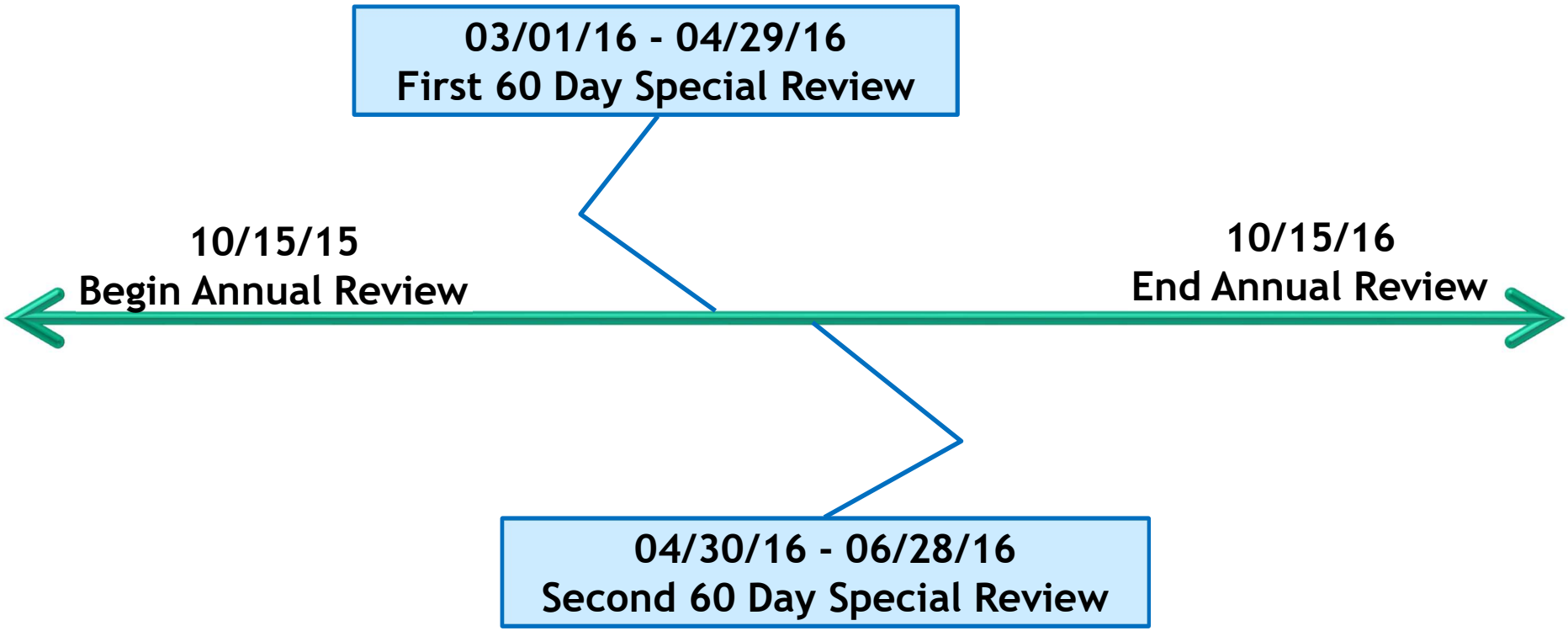
- K.A.R. 1-7-10(a)(5)an appointing authority may conduct a special performance review for any employee at any time under the PMP.

- Special reviews are to run concurrent with Annual reviews.

Special Reviews

1. Decide upon time frame of 30, 60 or 90 days.
2. Complete a PMP form focusing on areas needing improvement & your expectations for the review period.
3. Hold a Planning session with the employee.

Special Reviews



Special Reviews

1. During the special review period meet with the employee regularly.
2. Document any instances of employee not meeting your expectations.
3. Follow up meetings with email to document conversation.

Special Reviews

At the end of the Special review period

1. Close out the PMP form
2. Assign an overall rating
3. Meet with the employee
4. Decide to begin another special review or return to the annual review.

NOTE: Special review information is kept separate from annual reviews.

Review Appeals

K.A.R. 1-7-11 (a): Any classified employee who receives a performance rating that is lower than the highest possible rating may appeal that rating if the employee meets either of the following conditions:

(1) The employee has permanent status, including an employee with permanent status who is serving a probationary period due to a promotion.

(2) The employee is serving a probationary period due to a rehire on the basis of reinstatement.

Review Appeals

Appeal goes to agency Appointing Authority

- can make changes to the appealed PMP
- can appoint an appeal committee:

Appeal committee = 3 members (Chair & 2 Peers) will:

- review the appealed PMP form & additional documentation
- consider any relevant evidence that may be offered by the employee and the supervisor in regards to the PMP.

Review Appeals

Information considered by appeal Committee:

1. Was the employee given a PRF and was the process followed correctly and timely?
2. Was the employee made aware of deficiencies in either behavior or work performance?
3. Was the employee given an opportunity to improve those deficiencies?
4. How were errors or mistakes made communicated to the employee?
5. Did the supervisor have good documentation of incidents mentioned in the PRF?
6. Did the supervisor make suggestions of how the employee could improve?
7. Did the employee know they were not performing well or were they blindsided at the end of the review period?

Documenting Incidents

FOSA

F - Facts (What, When, Where & Who)

O - Objectives (Defined Expectations)

S - Solutions (Improving Performance)

A - Actions (Consequences)

Documenting Incidents

- **Facts**
  - What happened?
  - When did it happen?
  - Where did it happen?
  - Who was involved?

- **Objectives**
  - What are the performance expectations and when were they communicated to the employee?

Documenting Incidents

- **Solutions**
  - What forms of assistance or coaching were offered to the employee to help them solve the performance problem?

- **Actions**
  - What are the consequences for the employee if they do not improve their performance?

Documenting Incidents

Document all discussions via email

Mary,

On March 5th we met to discuss an incident that took place earlier in the day where you used foul language in an abrasive tone of voice towards a co-worker in a public part of the office which left the co-worker feeling very upset. We read over KSA 75-2949(e) that Failure to maintain satisfactory and harmonious relationships with the public and fellow employees is grounds for discipline. If a situation like this happens again I informed you that you will be disciplined and that will go in your official personnel file.

Thank you,
Supervisor

Progressive Discipline KSA 75-2949

1. Verbal Counseling
2. Written Counseling
3. Written Reprimand
4. Proposal of Suspension
5. Proposal of Demotion
6. Proposal of Termination

NOTE: Suspension, Demotion & Termination may be appealed to the Civil Service Board

Required Form

www.da.ks.gov/pmp

Performance Review Form (PRF) (*.docx)

Supplemental Form

PRF Signature Page (*.doc)

Coaching/Feedback Documentation Form (*.doc)

Mid-Year Discussion Documentation Form (*.doc)

Presentations

Performance Management Training (Powerpoint)

Participant Workbook

FAQ/Tools/Helpful Information

Frequently Asked Questions (htm)

Sample: Completed Performance Review Form

Manager's Resource Guide (pdf)

Do's & Don'ts for Completing PRF

Corrective Action Plan

SMART Objectives

email questions to:

PerformanceMgmt@ks.gov

Website for more information:

www.da.ks.gov/pmp

My Email:

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