

A SUPERVISOR'S GUIDE TO PERFORMANCE MANAGEMENT

This document provides guidance for creating Performance Plans (plan[s]) and completing summary ratings (appraisals) under various scenarios.

BACKGROUND

The plan is a tool used to target work expectations for a given fiscal year (FY). It is based on meeting the mission of the agency in all facets of operation. The plan contains mandatory standards and elements that must be included in all employees' plans and also those that are unique to individual positions. Agency policy requires all employees work under a plan. Supervisors can access templates for common job series (i.e., 0457, 0458) on the [Kansas SharePoint](#) Web site. Click on "View All Content" and page down to "PWP."

An employee's accomplishments under the plan are the criteria upon which a supervisor determines a rating of record (summary rating). Agency policy requires all employees receive a rating of record each FY. Employees can only be rated under a plan after it has been in place for at least 90 days. Once the supervisor has finalized the plan, the 90 days begins when all parties (second level supervisor and employee) have concurred.

PERFORMANCE CYCLE

Plans are created using [EmpowHR](#) and are typically created at the beginning of the FY (10/01/XXXX to 09/30/XXXX), which is equal to one performance cycle. The cycle for performance planning is very straightforward for an established employee. A mid-year review is performed in March/April to access progress under the plan. The summary rating (also created/documented using EmpowHR) is completed at the end of the FY prior to finalization of a new FY plan.

A brief interruption of the performance planning cycle occurs as employees relocate around the state or receive promotions. Current supervisors or losing and gaining supervisors must take action to bridge the interruption, ensuring that employees remain aware of work expectations and that past performance is captured for the purposes of rating. The plan cycle becomes shortened when new employees enter on duty (EOD) in the middle of a performance cycle. Plans may also end in the middle of a performance cycle due to a separation or reassignment to a position outside Kansas. A good rule to follow is that when an employee is placed under a new position description, they should also be placed under a new performance plan.

EMPLOYEE RESIGNATION

When an employee you supervise leaves federal service (resignation or retirement) no action on the plan or summary rating is required.

EMPLOYEE LEAVES KANSAS/AGENCY

If an employee you supervise leaves Kansas (accepts reassignment within our agency), do not take any action on the plan or summary rating in EmpowHR UNLESS the ending date of employment in Kansas is within 30 days of the end of a FY. If so, complete the summary rating.

If an employee leaves the Agency no action is required.

EMPLOYEE IS PROMOTED IN KANSAS

When an employee receives a career-ladder promotion from their current supervisor (i.e., Soil Conservation Technician, GS-0458-05 is promoted to a GS-0458-06) OR an employee is promoted as a result of a selection from a vacancy announcement (i.e., district conservationist is selected for a supervisory district conservationist position) a new plan is required within 30 days of the EOD date.

An employee must perform under a new plan for at least 90 days before they can be rated. Once the supervisor has finalized the plan, the 90 days begin when both the second level supervisor and employee have concurred. When a promotion occurs close to the end of the FY, special care must be taken to ensure proper entry of the new plan and completion of the summary rating.

If a supervisor loses an employee as a result of a promotion, the losing supervisor will:

- Document the accomplishments in the current position on paper and discuss them with the employee. Share this documentation with the gaining supervisor. No action is taken on the plan or summary rating in EmpowHR UNLESS the EOD date in the new position is within 30 days of the end of a FY. If so, complete the final summary rating.

If a supervisor gains an employee as a result of a promotion OR the employee receives a career-ladder promotion from their current supervisor, the supervisor will:

- Create a plan in EmpowHR within 30 days of the EOD date, using the EOD date as the plan start date. The ending date will either be the last day of the FY OR 90 days after all parties have concurred with the plan (sometimes that date falls after the last day of the FY). This is called “extending the rating period.”
- Complete the summary rating at the end of the rating period (end of FY OR after 90 days if the rating period was extended), taking into consideration all accomplishments for the FY. If a change in supervisor occurred the losing supervisor should provide written comments to include in the rating.

Example 1: Employee receives a career-ladder promotion on April 21, 2013. Within 30 days the current supervisor creates a plan with a start date of April 21, 2013. The ending date of the plan is September 30, 2013. The employee has ample time to work under the plan. Task complete! The employee will be rated based on accomplishments for the entire FY under both grade levels of performance.

Example 2: Employee EODs on April 21, 2013. Within 30 days the gaining supervisor creates a plan with a start date of April 21, 2013. The ending date of the plan is September 30, 2013. The employee has ample time to work under the plan. Task complete!

Example 3: Employee EODs on July 14, 2013. Within 30 days the gaining supervisor creates a plan with a start date of July 14, 2013. All parties concur by August 2, 2013. Meeting the “90-day” requirement puts the ending date of the plan on November 2, 2013 (after the end of the FY). In this example you are “extending the rating period.” Determining the end date of a plan requires coordination between all concurring parties since it needs to be “predetermined.” Adding a few extra days to the ending date of the plan is recommended to allow time for all parties to complete the plan review and concur. The “next plan by” date is the day after the end date of the current plan (November 3, 2013).

Important note: When creating a plan in EmpowHR where start and end dates are entered manually, EmpowHR requires the “Next Performance Plan By” date to be entered BEFORE the “Performance Plan End Date.” See screen shot below:

Performance Plan Elements and Standards

CARTER, SHAWNA K EmpID: 068467

Performance Plan Start Date: 07/14/2013

Performance Plan End Date: 11/02/2013

Next Performance Plan By: 11/03/2013

Rating Scale: H 5 Tier Performance

ENTER THIS DATE FIRST, THEN ENTER THE PLAN END DATE

Employment info when plan was established

Agency: AG 16 Natural Resources Conservation Service
 Department: 917813 Management Staff Position: 90110344
 Job Code: 037874 HUMAN RESOURCES ASST Pay Plan: GS 0203 07

| Employee | Supervisor | Reviewer |
|--------------------------------|----------------------------|------------------------|
| Viewed/Discussed 08/02/2013 | Created Plan 07/28/2013 | Concured 08/01/2013 |

This task is not yet complete. The summary rating must still be completed once the employee has worked under the “new” plan for 90 days. On the “Performance Plan End Date” (November 2, 2013, for this example) the supervisor will complete the summary rating for FY 2013. Remember, you have “extended the rating period” so the employee is being rated for all accomplishments in the PRIOR FY even though that FY has ended. Use the accomplishments documented by the losing supervisor together with the employees accomplishments under the plan you created (July 14, 2013, for this example). If a career-ladder promotion has occurred, use the accomplishments under each grade level to complete the summary rating.

You must now create a plan for the remainder of the “current” FY (FY 2014 for this example). In this example, the plan start date will be November 3, 2013, and the end date will be September 30, 2014. Task complete!