

Performance Management and Evaluation Process

Employee Name: _____
Current Position Title: _____
Department: _____

Evaluation Period: From: _____ To: _____

KCUMB Role:
(Select ONE)

Strategic Leadership
 Managerial (direct reports)
 Faculty
 Staff

SECTION 1

- ◆ Identify what level the individual is ***consistently*** performing at for each competency by inserting the corresponding number, in the ***Level of Performance*** box.
- ◆ Provide examples of the individual demonstrating the stated competency. Place this in the Examples box.

Competencies

Leadership

Shows an ability and willingness to align one's own exemplary behaviors with the needs, priorities, and goals of the organization. It involves building a learning community creating an environment which promotes learning – and is open and safe for people to try new ideas which expand their knowledge and skills; creating a culture of respect, one that does not simply accept differences, but views them as the fuel for creative energy and insight; encouraging “out of the box” thinking – an environment where people strive to find their own best collective solutions; and acting in ways that promote organizational goals or meet organizational needs. It may be exemplified through putting the organization’s mission before one’s own preferences.

Organizational Understanding

- 1
- Is aware of and acknowledges ways things are done in the organization
 - Displays acceptance of institutional protocols

Organizational Fit

- 2
- Respects the way things are done in the organization and does what is expected
 - Demonstrates concerns for organizational and personal reputation and professional association
 - Stays current in one's field

Supports the Organization

- 3
- Helps others get their jobs done
 - Expresses pride and/or dedication about being part of the organization
 - Promotes the organization's reputation internally and externally

<p>Advances the Organization</p> <p>4</p> <ul style="list-style-type: none"> ▪ Actively participates in and advances the organization’s mission and goals ▪ Provides mentoring and cooperates with others to achieve objectives in the larger organization by setting an example ▪ Recognizes and celebrates the accomplishments of others and the organization 	
<p>Makes Sacrifices for / Promotes the Organization</p> <p>5</p> <ul style="list-style-type: none"> ▪ Puts organizational needs before one’s own wants, such as one’s professional identity and/or personal preferences ▪ Takes specific actions with the intent of promoting the long term vision of the organization ▪ Takes action to ensure that others embrace the organization’s mission, vision, and values ▪ Stands by decisions that benefit the whole organization, even if they are unpopular or have a short-term adverse effect on one’s own department 	
<p>Level of Performance: (Insert appropriate number from above)</p>	<p>Examples:</p>

Humility: Self Knowledge & Enabling Others

The ability to have an accurate and honest assessment of one’s own strengths and development needs, including the impact that one has on others. A willingness to pursue personal development and initiate appropriate action.

<p>Awareness of own Strengths and Development Needs</p> <p>1</p> <ul style="list-style-type: none"> ▪ Acknowledges one’s own strengths and development needs ▪ May ask for guidance to help improve 	
<p>Responds to own Strengths and Development Needs</p> <p>2</p> <ul style="list-style-type: none"> ▪ Takes immediate actions to correct problems as they occur ▪ Recognizes and reacts to present situation, without being asked 	
<p>Seeks Feedback from Others</p> <p>3</p> <ul style="list-style-type: none"> ▪ Routinely seeks and respects feedback from others, including those who may be critical ▪ Appreciates the need to learn and grow 	
<p>Helps Improve Others’ Performance</p> <p>4</p> <ul style="list-style-type: none"> ▪ Provides practical support or assistance to make an assignment easier for another individual (i.e., teaching, providing additional resources, tools, information, mentoring, etc.) ▪ Shares information or provides directions to assist others in resolving problems ▪ Willing to “pitch in” and help others resolve a problem or react to a situation, without complaining 	
<p>Leverages Strengths and Development Areas for Maximum Impact / Assists Others with Opportunities or Problems</p> <p>5</p> <ul style="list-style-type: none"> ▪ Looks for opportunities to partner with others who complement one’s strengths and development areas to produce the best results for the organization ▪ Contacts others who are not personally involved in a situation to get their perspective, help, etc. 	
<p>Level of Performance: (Insert appropriate number from above)</p>	<p>Examples:</p>

Faith and Positivity: Shared Vision & Positive Pursuit of Excellence

A constant and shared faith and belief in ourselves and in what the organization can become; the belief in one's own capability to select an effective approach to a goal or task, to accomplish the goals or tasks, and to be optimistic and persistent in pursuing goals or tasks despite challenges and/or complexities.

1	Understands Job	<ul style="list-style-type: none"> ▪ Understands the assignment, projects, responsibilities, and job expectations ▪ Receptive to guidance
2	Wants to do Job Well	<ul style="list-style-type: none"> ▪ Has positive expectations of and acts confidently within job ▪ Tries to do the job well or right ▪ Expresses a desire to do better ▪ Open to new ideas
3	Improves Performance	<ul style="list-style-type: none"> ▪ Is optimistic about the future and one's ability to take on new assignments ▪ Adapts to new situations and works comfortably in ambiguous situations ▪ Maintains a positive attitude while investigating opportunities or problems
4	Sets and Works to Meet Challenging Goals	<ul style="list-style-type: none"> ▪ Willingness to take on new, unfamiliar assignments and is excited by that challenge ▪ Looks for and receives new assignments, which broaden, enlarge, or enrich the role
5	Confident and Persistent, despite Obstacles and Setbacks	<ul style="list-style-type: none"> ▪ Adapts or changes strategy as necessary to attain goals ▪ Optimistically and enthusiastically adopts/adjusts strategies to attain goals
6	Anticipates Challenges and Learns from Complexities	<ul style="list-style-type: none"> ▪ Anticipates and takes action to create an opportunity or avoid future crisis by looking ahead ▪ Initiates actions for the future by anticipating challenges and learning from the past ▪ Strategizes to minimize delays
Level of Performance: <small>(Insert appropriate number from above)</small>		<u>Examples:</u>

Integrity: Creating a Culture of Institutional Fairness and High Personal Ethics

Acting in ethical ways that are consistent with what one says is important, that is, he or she "walks the talk", is genuine, honest, dependable, and empathetic. Actions must match words: consistency and equity must be present in the small issues as well as larger ones. Communicates intentions, ideas, and feelings openly and directly, and welcomes openness and honesty from others, even when it is difficult to do so.

1	Wants to be Trustworthy	<ul style="list-style-type: none"> ▪ Expresses a desire to be open and honest ▪ Strives toward setting a positive example
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2	<p>Displays Openness and Honesty</p> <ul style="list-style-type: none"> ▪ Recognizes own feelings of apprehension, uncertainty, fear, etc. ▪ Recognizes own mistakes ▪ Expresses what one is thinking or feeling even when it is not required or when it would be easy to refrain from being open
3	<p>Acts Consistently with Values and Beliefs</p> <ul style="list-style-type: none"> ▪ Takes pride in being trustworthy ▪ Is open and honest in relationships with others ▪ Demonstrates respect for others ▪ “Doing the right thing” even when “no one is looking”
4	<p>Acts on Values when it is Not Easy to do so</p> <ul style="list-style-type: none"> ▪ Recognizes and acknowledges mistakes, even when it is difficult ▪ “Doing the right thing,” even when it is difficult (i.e., hurting a trusted relationship, doing the unpopular thing, etc.)
5	<p>Takes Action Based on Values when Significant Cost or Risk is Associated with doing so</p> <ul style="list-style-type: none"> ▪ Shares <u>all</u> relevant information (advantages / disadvantages) with others ▪ Challenges others in positions of influence and power to act according to their values and beliefs ▪ Holds people accountable for acting consistently with their values and beliefs
<p>Level of Performance: (Insert appropriate number from above)</p>	<p><u>Examples:</u></p>

Compassion: Caring and an Active Interest in the Needs of Others

The ability to be responsive to and identify with the needs of others by accurately hearing and understanding unspoken or partly expressed thoughts, feelings, and concerns. It implies taking an active interest in other people.

1	<p>Pays Attention</p> <ul style="list-style-type: none"> ▪ Takes note of others and surroundings ▪ Listens to what others say
2	<p>Actively Listens and Understands What Others Say</p> <ul style="list-style-type: none"> ▪ Makes appropriate eye contact, facial expressions, etc. to convey that one is listening ▪ Asks questions to understand another person ▪ Understands what others say about a particular situation or circumstance
3	<p>Understands Meanings</p> <ul style="list-style-type: none"> ▪ Reads other people’s moods, feelings, or non-verbal cues ▪ Understands unexpressed or poorly expressed thoughts, concerns, or feelings ▪ Listens for deeper meaning
4	<p>Relates Well to Others and Sees the Perspective of Others</p> <ul style="list-style-type: none"> ▪ Respects and relates well to people from varied backgrounds ▪ Demonstrates the ability to see things from someone else’s perspective ▪ Understands diverse points of view and is sensitive to individual and group differences

Understands Others, Establishes a Connection and Mutual Understanding

- Uses empathy to connect with others in ways that they feel listened to and understood
- Making others feel welcome and comfortable
- 5 ▪ Understands the underlying causes of others' feelings, concerns, and/or behaviors
- Challenges and explores the viewpoints of others
- Assesses another person's strengths and developmental needs based upon a deep understanding of the person

Level of Performance:

(Insert appropriate number from above)

Examples:

Service: Caring Beyond Ourselves & Our Boundaries

The desire to help or serve others, to meet their needs; a service and social responsibility ethic. It means focusing one's efforts on discovering and meeting others' needs; fostering our internal community, building stability, pride, sustaining hope, and contributing to our greater community, creating value for others.

Awareness of Others' Needs

- 1 ▪ Is aware of the needs of others
- Responds to their needs when requested

Follows Up

- 2 ▪ Follows through on inquiries, requests, complaints
- Keeps others up-to-date about progress

Maintains Clear Communication

- 3 ▪ Maintains clear communication with others regarding mutual expectations
- Monitors satisfaction
- Distributes helpful information
- Gives friendly, congenial service

Understands Others' Needs

- 4 ▪ Understands and articulates the needs of others and consistently meets those needs on a daily basis
- Takes personal responsibility for correcting service problems
- Corrects problems promptly and un-defensively
- Maintains confidentiality

Acts to Make Things Better

- 5 ▪ Makes self fully available, especially during critical periods (i.e., spends extra time and effort when others need it)
- Advocates for others' needs by going above and beyond normal expectations
- Represents others' needs in the organization decision-making process

Addresses Underlying Needs of Others

- 6 ▪ Seeks information about the real underlying needs of others, beyond those expressed initially
- Displays an in depth understanding of others and matches needs to available (or customized) solutions
- Understands how organizational procedures and processes will impact others

Uses a Long-Term Perspective / Acts as a Trusted Advisor and Advocate

7

- Looks for long-term benefits for others and adjusts approaches accordingly
- Acts as a trusted advisor and advocate for others
- Promotes and supports a culture of service excellence
- Sees into the future and makes decisions to address the long term needs of others
- Anticipates and is proactive

Level of Performance:

(Insert appropriate number from above)

Examples:

Teamwork and Unity

The desire to work cooperatively with others, to be part of a team, to work together, as opposed to working separately or competitively, to create an environment where participants contribute freely and to the best of their ability because they want to do so; their personal values are aligned with the organization's values.

Cooperates with Others

1

- Listens and supports team decisions
- Does his/her share of the work
- Keeps other team members informed and up-to-date about what is happening in the group
- Shares useful information

Expresses Positive Attitudes and Expectations of Others

2

- Expectations are communicated and clearly defined
- Trusts and respects team members and speaks of them in positive terms, either to the team member directly or to a third party

Seeks Out and Solicits Input from Others

3

- Genuinely values and respects others' input and expertise
- Is accepting, trusting, and open to learning from others, including subordinates and peers
- Solicits ideas and opinions to help resolve conflict and form specific decisions or plans

Supports and Encourages Others

4

- Publicly credits others who have performed well
- Encourages and empowers others to take action

Builds Team Commitment

5

- Promotes good working relationships regardless of personal likes or dislikes
- Encourages and/or works to positively resolve conflict

Level of Performance:

(Insert appropriate number from above)

Examples:

Awarded Points:

0

SECTION 2

PLAN: Carefully define the Major End Results (MER) and the Key Measurable Objectives (KMO). Use the “SMART” criteria to help ensure measurability. Insert the appropriate **Workload%** that was outlined in the Faculty member’s contract/addendum for the current evaluation cycle.

EVALUATE: When assessing performance, did the individual ***consistently meet expectations*** (according to the criteria defined in the KMO)? Insert your numerical rating in the **Score** column based on how well the individual performed in meeting expectations. Use the following definitions: “3” = *Exceeds*; “2” = *Meets*; or 1 = *emerging or ineffective*. If a KMO does not apply or was not able to be observed during this evaluation cycle, place a “0” in the **Score** column, and change the corresponding Target to 0. Re-add the Target column, as necessary. **Add COMMENTS to support 3 or 1 ratings.**

CALCULATIONS: For every KMO, a 2 should be noted in the **Target** column, unless it is changed to a 0 as noted above. Add the **Score** column and the **Target** column under each MER section. Calculate the ‘hitting target %’ by taking the **Total Score** amount and divide by the **Total Target** amount. Insert this amount in the corresponding box. Multiply the Workload % by the hitting target% to identify Outcome for the MER. Insert the %, using up to 2 decimal points. Perform the calculation for each MER.

The **Unweighted Target Outcome** is determined by adding the MER sections together. First, add together the **Total Score** amounts from each MER section. Second, add together the **Total Target** amounts from each MER section. Then, divide the ‘grand’ Total Score amount by the ‘grand’ Total Target amount. This will give you a ‘raw’ score.

The **Total Weighted Outcome** is determined by adding the Outcomes from each of the MER sections. This final result is reflective of the faculty member’s workload % allocation for each of the MERs.

Position’s Primary Purpose

Major End Results	Key Measurable Objectives	Performance Level	
Identify the major end results & list below in order of priority (minimum 3, maximum 8).	State specific objectives for achieving end results. Be sure to include qualitative, timeliness, & quantitative measures.	How well did the individual perform in <u>achieving expectations</u> ? Exceeds = 3 Emerging = 1 Meets = 2 Not Apply = 0	
		Score	Target
1. TEACHING	1-1. Learning objectives , test questions, and handouts were prepared, completed, and submitted to the appropriate individual(s) in accordance with defined protocols and within established deadlines .	2	2
	1-2. Test questions used meet quality/structure standards (university, board, etc.), relate to defined objectives, appropriately evaluate/assess student comprehension, and achieve an average point biserial of ≥ 0.15	2	2
	1-3. The mechanics (technology, handouts, etc.) of delivering the curriculum to students utilizes state of the art methodology, provides visual stimuli, and meets a range of student needs/expectations.	2	2
	1-4. Organization and delivery of course content is current and appropriate for the knowledge and skill level of the student audience.	2	2

Major End Results		Key Measurable Objectives				Performance Level	
Identify the major end results & list below in order of priority (minimum 3, maximum 8).		State specific objectives for achieving end results. Be sure to include qualitative, timeliness, & quantitative measures.				How well did the individual perform in <u>achieving expectations</u> ?	
						Exceeds = 3 Emerging = 1 Meets = 2 Not Apply = 0	
						Score	Target
		1-5. Faculty member is proactive in working with students who are struggling and/or lagging behind. Steps are initiated and executed to guide students in reaching their potential and/or increasing their knowledge and skill level to be comparable with their peers and where they should be in preparation for boards.					2
		1-6. Faculty member's delivery style is engaging, educational, and refreshing. Students are motivated to be prepared for course activities and motivated to effectively participate in the classroom/lab.					2
		1-7. Responsive/adaptive to modifying content, design, and/or delivery of curriculum to ensure meeting the needs of the student population. Proactively utilizes student evaluation/feedback to enhance, modify, or streamline lectures/labs. Effectively implements adjustments.					2
		1-8. Outcomes of testing and assessment demonstrate comprehension of section material. Students performed at or above national norms on state and board exams.					2
Comments:							
					Total		16
Workload%		X	% of hitting target [score/target]		=	Outcome	
2. SERVICE		2-1. Attends assigned meetings [departmental, university, committees, hospital, etc.], meeting defined attendance requirements AND identifiable contributions are noted in the minutes, which enhance and/or streamline the committee's ability to meet its purpose.					2
		2-2. Adheres to the University's expectations in participation and attendance at defined university functions [All Employees meetings, Graduation, Baccalaureate, White Coating Ceremony, Homecoming, Research Day, Strategic Planning, QEC, faculty development activities, LED requirements, etc.].					2
		2-3. Engaged/involved in relevant professional organizations which bring credit and/or recognition to the individual and/or university (visible presence – leadership roles, sub-committee chairs, volunteering, etc.).					2
		2-4. Actively participates in community service opportunities related to profession and/or activities the university has chosen to support or be involved with.					2

Major End Results		Key Measurable Objectives				Performance Level	
Identify the major end results & list below in order of priority (minimum 3, maximum 8).		State specific objectives for achieving end results. Be sure to include qualitative, timeliness, & quantitative measures.				How well did the individual perform in <u>achieving expectations</u> ?	
						Exceeds = 3 Emerging = 1 Meets = 2 Not Apply = 0	
		2-5. Responds timely and effectively to students, maintaining appropriate, confidential records.					2
		2-6. Produces student advising reports and appropriate documentation in accordance with university policy and meets established deadlines for submission to designated departments.					2
<u>Comments:</u>							
					Total		12
Workload%		X	% of hitting target [score/target]		=	Outcome	
3. RESEARCH / SCHOLARLY ACTIVITIES		3-1. Actively participates in the development and preparation of scholarly activities . Conceptualizes projects/ideas and shares those projects/ideas with others (including immediate supervisor).					2
		3-2. Leads and/or assists in the execution of research projects (excludes co-investigator status on contracts), including synthesis of data and analysis of outcomes.					2
		3-3. Results of scholarly activities are recognized by professional peers through publication in peer-reviewed journals or other peer-reviewed outlets.					2
		3-4. Seeks external funding to support scholarly activities, demonstrated through documented effort (grants submission, contract application, etc.).					2
<u>Comments:</u>							
					Total		8
Workload%		X	% of hitting target [score/target]		=	Outcome	
4. ADMINISTRATION		4-1. Preparation: Competently gathers and compiles information, creating curriculum, reviewing appropriateness of section course objectives/syllabus, producing study guides (as needed/appropriate), and ensuring educational components across disciplines result in the production of a quality end product.					2
4-1 thru 4-3 Section Director KMOs		4-2. Delivery: Efficiently handles Section logistics (schedules, locations, assignments, etc.), overseeing the production of tests, quizzes, etc., ensuring highest quality standards, actively engaging in the review/assessment of questions, exams, and quizzes, and facilitating continuity for the Section's clinical					2

Major End Results		Key Measurable Objectives			Performance Level	
Identify the major end results & list below in order of priority (minimum 3, maximum 8).		State specific objectives for achieving end results. Be sure to include qualitative, timeliness, & quantitative measures.			How well did the individual perform in <u>achieving expectations</u> ?	
					Exceeds = 3 Emerging = 1 Meets = 2 Not Apply = 0	
		component (as needed).			Score	Target
		4-3. Interactions – Facilitator/Mentor: Effectively lead team members, facilitating discussion, resulting in collegial interaction and production of curriculum, participating in expected curriculum/educational related activities, responding timely to student requests, and submitting final report by deadline.				2
		4-4.				
		4-5.				
Comments:						
Total						6
Workload%		X	% of hitting target [score/target]		=	Outcome
5. MANAGERIAL		5-1. Information & Feedback: Provides concise direction/instruction, exchanges useful information accurately and timely with direct reports and other constituents, and effectively represents the interests of faculty and direct reports, serving as an advocate for the faculty.				2
		5-2. Decision Making & Effectiveness: Efficiently gathers facts, seeks out input from others (as necessary/appropriate), makes decisions consistent with the department and university's missions in mind, and accepts ownership for the outcomes of the decisions.				2
		5-3. Trust: Competently cultivates an environment of trust, maintaining open dialog between and among team members, actively and objectively listening and encouraging open exchange of ideas, consistently treating individuals professionally and respectfully.				2
		5-4. Fiscal Responsibility / Budget Management: Effectively manages departmental budget, soliciting input from team members, formulating/submitting annual budget by deadline, making appropriate funding allocation adjustments as circumstances warrant, and maintaining open dialog with team members regarding approved budget and fiscal priorities.				2

Major End Results		Key Measurable Objectives				Performance Level	
Identify the major end results & list below in order of priority (minimum 3, maximum 8).		State specific objectives for achieving end results. Be sure to include qualitative, timeliness, & quantitative measures.				How well did the individual perform in <u>achieving expectations</u> ?	
						Exceeds = 3 Emerging = 1 Meets = 2 Not Apply = 0	
		5-5. Faculty Recruitment: Actively engages in recruitment activities, taking ownership of the process, working cooperatively with others, providing timely responses, input, feedback, etc. with recruitment members, seeking out candidates, and utilizing resources and processes efficiently and effectively.				Score	Target
							2
Comments:							
					Total		10
Workload%		X	% of hitting target [score/target]		=	Outcome	
6. CLINICAL PRACTICE		6-1. Consistently delivers compassionate medical care in accordance with patient satisfaction guidelines . Tactfully resolves complaints from patients, families, and staff.					2
		6-2. Maintains high standards of patient care, consistently exceeding quality indices , guided by evidence-based medicine or consensus of expert opinion.					2
		6-3. Delivers quality health care, as recognized by PQRI standards.					2
		6-4. Responds timely and appropriately to patient requests/needs, other physicians, personnel, and hospital calls.					2
		6-5. Meets MGMA benchmarks for productivity within physician's area of specialty.					2
		6-6. Accurately and timely meets medical record completion requirements for both outpatient and inpatient settings .					2
		6-7. Adheres to billing and coding standards commensurate with the level of care provided in compliance with Evaluation and Management guidelines .					2
		6-8. Maintains a hospital practice appropriate within their area of expertise and within defined parameters/expectations.					2
		6-9. Shares equitably in the responsibilities of the medical practice and the functions of their clinical department (i.e., call, weekend & holiday coverage, vacations, CME, etc.).					2

Major End Results		Key Measurable Objectives				Performance Level	
Identify the major end results & list below in order of priority (minimum 3, maximum 8).		State specific objectives for achieving end results. Be sure to include qualitative, timeliness, & quantitative measures.				How well did the individual perform in <u>achieving expectations</u> ?	
						Exceeds = 3 Emerging = 1 Meets = 2 Not Apply = 0	
		6-10. Effectively instructs medical students in didactic sessions, hospital rounds, clinical settings, and formal presentations, as assigned within the curriculum of the university.				Score	Target
							2
<u>Comments:</u>							
					Total	20	
Workload%		X	% of hitting target [score/target]		=	Outcome	
Total Workload		100%	Unweighted target Outcome [score/target]				
					TOTAL Weighted Outcome:		

Performance Plan Signatures	
Employee: _____	Date: _____
Immediate Supervisor: _____	Date: _____

SECTION 3

Goals

PLAN: Define the Goals for the **Next** Eval Cycle. Use the “SMART” criteria to help ensure measurability. Identify deadlines, as appropriate; some may be “ongoing”. More than 6 goals may be identified. If needed, simply copy and paste additional rows.

EVALUATE: When assessing achievement of goals for the **Current** Eval Cycle, provide written narrative in the *Outcome/Results* section to describe goal attainment and individual performance.

Current Eval Cycle: _____

(1) _____ Deadline: _____

Outcome/Results:

(2) _____ Deadline: _____

Outcome/Results:

(3) _____ Deadline: _____

Outcome/Results:

(4) _____ Deadline: _____

Outcome/Results:

(5) _____ Deadline: _____

Outcome/Results:

(6) _____ Deadline: _____

Outcome/Results:

Next Eval Cycle: _____

(1) _____ Deadline: _____

(2) _____ Deadline: _____

(3) _____ Deadline: _____

(4) _____ Deadline: _____

(5) _____ Deadline: _____

(6) _____ Deadline: _____

SECTION 4

Impact of Performance

Supervisor's Summary Comments (strengths, development areas, goals, etc.):

Total Impact

Faculty Comments:

Super Init:

Performance Evaluation Signatures

Employee: _____ Date: _____

Immediate Supervisor: _____ Date: _____

Acknowledgment of Receipt:

Human Resources: _____ Date: _____