



State of Washington Manager Development & Performance Plan

MDPP USER'S GUIDE

This User's Guide offers a step-by-step suggested approach for completion of the Manager Development & Performance Plan (MDPP). Managerial employees and their supervisors are encouraged to review the User's Guide prior to preparing the MDPP. Certain steps for completing the MDPP may vary from agency to agency. Agency-internal policies relating to this process should also be reviewed prior to preparing the MDPP.

What is the MDPP?

The Manager Development & Performance Plan is the standardized appraisal system for planning and evaluating the performance of state agency managers. It is a planning and communication tool that focuses on results achieved and skills critical to effective managerial performance, including:

- Communication
- Decision Making
- Interpersonal Skills
- Leadership
- Planning
- Human Resource Management
- Program/Project Management
- External Environment Interaction

The MDPP is a key component of the Washington Management Service (enacted by the 1993 Legislature). It is designed to enhance managerial quality and accountability in Washington State government service.

When should it be used?

The MDPP is to be used in all agencies beginning July 1, 1993 and transitioning in over the course of the year.

The performance period covered by the MDPP is usually 12 months. It may be less in the case of probationary periods, trial service, or other reasons determined by the supervisor. The beginning and end dates of the performance periods may be any annual time frame determined by the agency.

Who should use the MDPP?

The MDPP is to be used only for managerial employees as identified by your agency. Managerial employees are those whose job responsibilities meet the definition of "manager" as follows:

- (1) Formulates statewide policy or directs the work of an agency or agency subdivision;
- (2) Is responsible to administer one or more statewide policies or programs of an agency or agency subdivision;
- (3) Manages, administers, and controls a local branch office of an agency or an agency subdivision, including the physical, financial, or personnel resources;
- (4) Has substantial responsibility in personnel administration, legislative relations, public information, or the preparation and administration of budgets; or,
- (5) Functionally is above the first level of supervision and exercises authority that is not merely routine or clerical in nature and requires the consistent use of independent judgement.

Terms used in the MDPP:

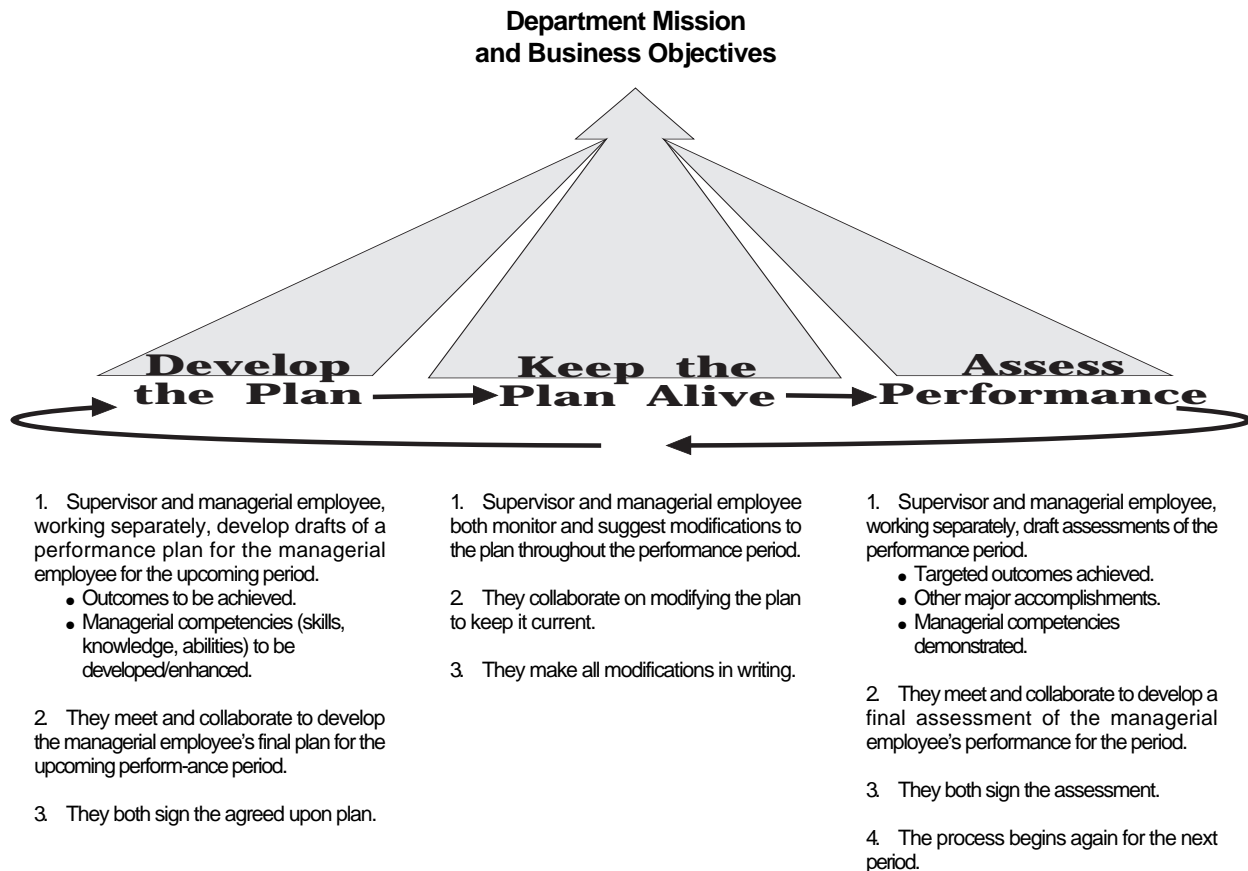
Managerial employee – the manager whose performance is being planned and assessed

Supervisor – the person to whom the managerial employee directly reports

Reviewer – the person to whom the supervisor directly reports, unless otherwise designated by the agency

THE MDPP PROCESS

The MDPP process is a collaborative effort between the supervisor and the managerial employee. They work together to develop a performance plan at the beginning of the performance period, continually monitor and modify it as needed, and assess the actual outcomes at the end of the period. The process then begins again with development of a plan for the upcoming performance period.



THE MDPP FORM

The MDPP is organized into six sections. Sections One through Three are completed *at the beginning* of the performance period and monitored periodically during the year. Sections Four through Six are completed *at the end* of the performance period.

Section One	Significant Results Expected
Section Two	KSA Development Plan
Section Three	Agreement of Understanding (signatures)
Section Four	Significant Results Assessment
Section Five	KSA Assessment
Section Six	Comments and Signatures

The MDPP form is available in both hard copy and computer disk by contacting your agency human resource or personnel office.

How is the form used?

1. Complete at the beginning of the Performance Period.

THE PLAN

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2. Monitor and update if appropriate during the Performance Period.

THE PLAN

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3. Complete at the end of the Performance Period.

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INSTRUCTIONS: Sections One through Three

- Step 1:** Prior to preparing the MDPP, the supervisor and managerial employee should get together to:
- Discuss the MDPP process; review the form, User's Guide, and agency-internal policies relating to the process
 - Clarify the roles and responsibilities of the managerial employee's position, using the position description (or CQ) for assistance
 - Discuss and clarify the managerial employee's position in relation to the mission, goals, and objectives of the agency
- Step 2:** Independently, the supervisor and managerial employee should prepare drafts of Section One *Significant Results Expected* and Section Two *KSA Development Plan*
- Step 3:** At the MDPP planning meeting, the supervisor and managerial employee:
- Discuss the drafts of Section One *Significant Results Expected*
 - Reach mutual understanding on performance expectations and the means by which they will be assessed
 - Discuss the drafts of Section Two *KSA Development Plan*
 - Reach mutual understanding of the development needs and plans to address those needs
- Step 4:** After the meeting, the supervisor:
- Completes the final draft of Sections One and Two of the MDPP
 - Signs Section Three *Agreement of Understanding*
 - Has the managerial employee review the final draft and sign the Agreement of Understanding
 - Provides the managerial employee with a copy of the plan (Sections One – Three)

HELPFUL HINTS FOR DEVELOPING “SIGNIFICANT RESULTS EXPECTED”

What Are Significant Results?

- Performance outcomes to be achieved by the managerial employee during the upcoming performance period
- Specific, observable, and sometimes measurable
- Collaboratively developed by the supervisor and managerial employee
- A reflection of the organization's mission and business objectives
- A reflection of the managerial employee's most significant job responsibilities, and of how that person will spend most of his or her time

Why Identify Significant Results Expected?

Managerial employees need to know beforehand the goals and standards against which their performance will be assessed. Without this information they are operating in the dark.

Why Develop Them Collaboratively?

When the managerial employee participates in describing the performance expectations, he/she gains ownership for and a commitment to the achievement of those results in a quality way.

What Is a Well-Written Significant Result Expected?

1. It describes the desired outcome
2. It may also describe the process to be used to achieve the desired outcome if process is determined to be a significant aspect of the performance. Note: Beware of tendencies to over-manage by prescribing process.
3. It describes how you will know when the outcome or result has been achieved. Not all results are “measurable.” However, they are observable. You should ask the question: “How will we know that this expected result has been achieved?”
4. It’s within the managerial employee’s authority to accomplish.
5. It’s realistic within the time period and resources available.
6. It should be prioritized relative to the other expected results.

HELPFUL HINTS FOR PREPARING THE “KSA DEVELOPMENT PLAN”

How to Determine the Managerial Employee’s Developmental Needs

There are several alternative methods. Here are some ideas:

- Focus on the critical knowledge, skills, and abilities (KSAs) for effective managerial performance. These are itemized in detail in Section Five of the MDPP.
- Reflecting on the job responsibilities and, especially, the Significant Results Expected, what skills or behaviors need to be demonstrated in order to be successful? Which of those skills should the managerial employee develop further to be more effective?
- If this is the first time using the MDPP, use a copy of Section Five as a worksheet to identify areas needing development. Otherwise, the completed Section Five from the previous performance period should automatically give you needed information to prepare the KSA Development Plan.
- Use a management training needs assessment tool. The META 360° (Management Excellence Through Assessment) is available from the Department of Personnel. It is a computerized tool that gives comprehensive information about the managerial employee’s competencies. Data is obtained from the managerial employee, his/her supervisor, peers, and direct reports. It is an excellent supplement to the MDPP.
- Have an open and fair discussion with the managerial employee. Listen carefully to what the managerial employee feels he/she needs to be more effective. In a constructive and caring way, share your observations and the feedback you have received from those with whom the managerial employee works.

How to Prepare the KSA Development Plan

For each KSA needing development, determine an enhancement strategy. That is, determine what activity the managerial employee should engage in to further develop the skill in question.

There are several alternative activities to consider. Ideas include:

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|---------------------------------------|-----------------------------|
| ■ Workshops, seminars, courses | ■ Coaching, mentoring |
| ■ Rotational assignments | ■ Other special assignments |
| ■ Reading appropriate journals, books | ■ Conference attendance |
| ■ Shadowing | ■ Videos, tapes |

KEEP THE PLAN ALIVE!!!

Have Priorities Changed?

During the course of the performance period, priorities or circumstances will likely shift. Especially in state government managerial jobs, it is very difficult to anticipate the significant issues that will arise during the course of the year. A key motto of the MDPP is that there should be NO SURPRISES come evaluation time.

Therefore, users are strongly encouraged to review the MDPP periodically during the course of the performance period. At a minimum, a quarterly review is suggested.

What to Look for

- Are the original Significant Results Expected still valid, realistic, and priority issues? If circumstances have changed so that the managerial employee will no longer be held accountable for achievement of a result, then it should be deleted from the plan. If its priority has shifted (up or down), that should be so noted.
- Have new accountabilities been added? As the managerial employee receives new, significant expectations (i.e., those that will impact the performance evaluation at the end of the period), they should be added to the MDPP.
- How's the managerial employee's performance? Give some feedback and recognition. A little positive reinforcement can go a long way in supporting continued excellent performance. On the other hand, if improvement is needed, let the manager know right away. Be specific and fair. Adjust the KSA Development Plan if warranted.

INSTRUCTIONS: SECTIONS FOUR THROUGH SIX

Section Four: Significant Results Assessment

Section Five: KSA Assessment

Section Six: Comments and Signatures

Step 1: Prior to the performance evaluation meeting at the end of the performance period, the managerial employee and supervisor should independently prepare drafts of Section Four and Five.

Section Four: When preparing the Significant Results Assessment, summarize the actual results achieved in relation to those expected (as listed in Section One). Information concerning degree of completion, quality, quantity, timeliness, and other relevant factors should be included. This summary can provide important feedback for the managerial employee and useful documentation for employment decisions where performance is a factor.

Space is also provided to describe other important accomplishments achieved during the performance period that were not listed as expected results.

Section Five: In preparing the KSA Assessment, concentrate on providing specific, constructive narrative information in the space provided for each of the eight KSAs. This information is crucial in reinforcing the managerial employee's demonstration of effective managerial skills. It is also critical in identifying areas needing improvement.

For some managerial positions, some of the KSAs may not be applicable. When this happens, simply note "not applicable to this position" on the form.

There may be other KSAs that are important to the position but not listed on the form. If so, they should be added in the space provided.

Note that the "prompts" listed under each KSA are meant to facilitate discussion. They are examples of the meaning of the KSA and are not all-inclusive.

The use of rating boxes is optional, unless otherwise directed by agency policy. If rating boxes are used, the categories are defined as:

Outstanding	Truly exceptional performance
Exceeds Requirements	Superior performance surpasses what is generally expected a majority of the time
Meets Requirements	Day-to-day performance expectations are met. Any shortcomings are generally balanced by some superior performance characteristics.
Needs Improvement	Day-to-day performance generally shows some limitations that are not balanced by any superior performance characteristics;
Unacceptable	Day-to-day performance shows significant limitations

- Step 2:** At a scheduled performance evaluation meeting, the supervisor and managerial employee:
- Discuss the drafts of the Significant Results Assessment. Both should share their own impressions of results achieved and provide feedback on the other's views.
 - Discuss the drafts of the KSA Assessment, probing in detail those areas where the managerial employee demonstrates excellence and those areas where improvement is needed.
 - Attempt to reach a common understanding of performance results and demonstration of KSAs.
- Step 3:** After the meeting, the supervisor:
- Finalizes Sections Four and Five
 - Makes any additional comments and signs Section Six
 - Has the managerial employee review the final document, make any comments, and sign Section Six.
 - Delivers the signed document to the reviewer for review and signature.
 - Receives the completed document from the reviewer and distributes a copy to the managerial employee and the agency personnel records keeper.
- Step 4:** The reviewer (usually the second line supervisor):
- Monitors completion of the document
 - Assesses the quality of the completed MDPP (for example: that all sections were properly completed, adequate narrative commentary was provided, etc.)
 - Make any comments regarding the process. The reviewer should not conduct another evaluation of the managerial employee's performance. However comments in support of the supervisor's comments may be appropriate.
 - Signs Section Six and returns the document to the supervisor who will distribute copies to the managerial employee and agency personnel records keeper.

MDPP THEMES

SET CLEAR GOALS AND EXPECTATIONS FOR THE PERFORMANCE PERIOD

Without clear goals you will be operating in the dark.

COLLABORATE ON PLANNING AND ASSESSMENT

Build a strong working relationship.

Remain open to different ideas and perspective.

KEEP THE PLAN ALIVE

Keep the plan current as situations and priorities change.

KEEP TRACK OF PROGRESS

Good assessments are specific.

Make record keeping as simple as possible.

ELIMINATE SURPRISES

Nothing should come up at the assessment regarding past performance that hasn't been discussed before.

MAKE TIME TO DO IT RIGHT

The value derived from the process is directly related to the quality of the effort put in.