1. PURPOSE

The purpose of this procedure is to facilitate effectiveness evaluation of institutional and individual works, executed to ensure achievement of strategic goals set in line with the vision of Koç University, based on fair and objective criteria, and to ensure success is recognized.

2. SCOPE

This procedure covers staff serving in Koç University administrative positions.

3. REFERENCES

P17-İK-010_Administrative Staff Training and Development Procedure

4. RESPONSIBILITIES

4.1. The President is responsible for the enforcement of this procedure.

4.2. The Human Resources Directorate is responsible for preparing and/or updating of this procedure.

4.3. The Human Resources Directorate is responsible for managing the performance management process on a suitable platform and ensuring receipt of user support.

4.4. Department Managers are responsible for having their staff adopt and apply the performance management process.

4.5. Staff and performance evaluators are jointly responsible for implementing the performance management process, executing it in line with the determined schedule, and conducting the meetings.

4.6. Department Managers are responsible for the distribution of performance scores.

5. DEFINITIONS

5.1. Department Manager

Highest managing officer of the department with which the staff is affiliated.

5.2. Performance Evaluator

The person responsible for evaluating the goals and/or competencies of the staff.

5.3. Koç University Core Competencies

Core competencies are core behaviours expected from all administrative staff irrespective of their positions. Competencies, evaluation levels and positive behaviour indicators are defined in the competency reference guide (Annex 1).

5.4. Goal

It consists of verbal and quantitative expressions describing outputs and outcomes planned to be realized during the relevant performance period in line with the duties and responsibilities of the staff to support institution and department priorities.

Definition of goals in conformity with SMART (Specific, Measurable, Achievable, Reasonable, Time-Bounded) criteria ensures that they are measured objectively.
5.5. Performance Form

The form in which individual work goals and/or Koç University core competencies are defined based on the job definition and responsibilities of the staff within the scope of the performance management process (Annex 2). This form facilitates formation of goals deployed by the relevant senior manager within the goal-setting period in line with the department work plan, and monitoring and evaluation of these goals throughout the performance schedule.

5.5.1. Goal and Competency Card

It is the type of performance form used for roles to which SMART goals can be applied. 60% of the form consists of goals, 30% competencies and 10% discretion.

5.5.1.1. Definition of Goal

The field dedicated to the definition of outputs and outcomes expected from the staff during the relevant performance period.

5.5.1.2. Indicator and Unit

States the manner in which a relevant goal is to be measured and its unit. States the unit of a set goal available for selection from the indicator pool (Annex 3), such as percentage, date, point, currency etc.

5.5.1.3. Current Value

Represents the quantitative value corresponding to the amount of realization achieved in the recurring goals of the previous year.

5.5.1.4. Goal Value

Represents the quantitative value planned to be achieved in respect of a set goal.

5.5.1.5. Lower Limit/ Upper Limit

Represent lower and upper limit values used to determine the desired interval of realization to facilitate goal evaluation in cases where works in respect of a set goal produce a differentiation in the goal value. The lower limit is defined as the minimum value allowable for goal realization, whereas the upper limit is defined as the maximum value attainable through efforts that differentiate from outstanding performance and expectations.

5.5.1.6. Weight

It is used to prioritize the goals of the staff. The sum of weights on a performance card in respect of goals, core competencies and discretion should be 100%.

5.5.1.7. Actual Value

Quantitative value expressing the status of realization of a goal.

5.5.1.8. Discretion
Discretion is based on the opinion of the performance evaluator regarding the staff, and constitutes maximum 10% of the total performance score.

5.5.1.9. **Performance Point**

Performance point is the point obtained as a result of goal evaluation on a scale of 0 to 150. Based on lower / upper limits, a set goal value is calculated automatically when the goal realization value is entered in the system.

5.5.1.10. **Weighted Performance Point**

Represents the quantitative value obtained by multiplying the performance point received in respect of a relevant goal with the goal weight percentage.

5.5.2. **Criterion-Based Card**

A type of form used where performance evaluation shall be carried out in the form of a competency evaluation only (Annex 4). The card entirely consists of core competencies.

5.6. **Goal-Setting Period**

Represents the annual period during which the individual goals of the staff are set and expectations in respect of competencies are defined based on the competency reference guide in line with institutional priorities and department work plans.

5.7. **Performance Monitoring and Midyear Review**

Represents the period during which realization status of goals set at the beginning of the performance period is reviewed and feedback meetings based on core competencies are conducted. In addition to the midyear review, the staff and his/her performance evaluator also conduct performance evaluative meetings throughout the year.

5.8. **Performance Evaluation Period**

Represents the period during which goals and competencies are evaluated by the staff and the performance evaluator, and the performance score is determined.

5.9. **Performance Score**


6. **BASIC PRINCIPLES**

6.1. **Institutional Performance Management**

6.1.1. Performance of the entire Koç University administrative staff is evaluated in accordance with the performance management process.

6.1.2. Priorities of the university set in line with its vision and strategy are transformed into annual work
plans by department managers. The performance management process, on the other hand, is based on the process of detailing department work plans to transform into individual goals and measure individual contribution.

6.1.3. Goal distribution and evaluation shall be processed in a manner to facilitate contribution from the entire staff, from senior management to department managers, department managers to department staff, towards institution strategies.

6.2. Individual Performance Management

6.2.1. Goal-Setting

6.2.1.1. It is advised to include 3 to 10 SMART goals on performance cards. Expectations, content and evaluation criteria for each goal should be clarified.

6.2.1.2. The recommended minimum and maximum weight percentages for each goal contained in the performance card are respectively 5% (five per cent) and 20% (twenty per cent). Goals, which have been assigned weight percentages over 20% (twenty per cent), should be detailed and defined as multiple goals.

6.2.1.3. Common goals may be defined in respect of processes/projects contributed by more than one department. It is ensured that the goals belonging to staff involved in such processes/projects are added to their performance cards in the same manner, or differently according to their responsibilities.

6.2.1.4. Staff, who will have criterion-based cards, should be evaluated on the basis of 12 (twelve) competencies contained in Koç University Competency Reference Guide.

6.2.1.5. Each competency on the performance card bears equal weight.

6.2.2. Performance and Progress Monitoring

6.2.2.1. Goals are monitored throughout the year. Instant/Immediate feedback meetings may be conducted if necessary.

6.2.2.2. Midyear review meetings should be conducted to facilitate at least one review of performance cards in a year. During such meetings, it is essential to monitor goal realizations, review plans and discuss competencies displayed. Mutual feedbacks should be exchanged, and revision proposals, if any, should be presented to senior manager for approval.

6.2.2.3. The areas for development of the staff are also monitored throughout the year alongside his/her performance. In respect of areas for development determined during the monitoring process, actions shall be taken in accordance with the Administrative Staff Training and Development Procedure.

6.2.3. Performance Evaluation

6.2.3.1. Prior to the performance evaluation meeting, it is expected from the staff and the performance evaluator to review the relevant performance period and undertake preliminary preparation regarding goals and competencies.
6.2.3.2. During the performance evaluation period, the staff and the performance evaluator conduct their meetings in accordance with the performance schedule.

6.2.3.3. In the event the staff and the performance evaluator cannot come to an agreement, this shall be communicated first with the department manager, and then to the Human Resources Directorate, if necessary.

6.2.3.4. Performance meeting outcomes are recorded on the performance form and approved by the performance evaluator.

6.2.3.5. Performance notes submitted to the department manager by the performance evaluator are appraised by the department manager, who determines the final performance score.

6.2.3.6. It is recommended that the performance score distribution per department conforms to the below percentage distribution based on the total number of staff in each department.

<table>
<thead>
<tr>
<th>Performance Score</th>
<th>Percentage Distribution (%)</th>
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<tbody>
<tr>
<td>E</td>
<td>3%</td>
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<tr>
<td>D</td>
<td>10%</td>
</tr>
<tr>
<td>C</td>
<td>65%</td>
</tr>
<tr>
<td>B</td>
<td>20%</td>
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<tr>
<td>A</td>
<td>2%</td>
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</tbody>
</table>

6.3. General Principles of Implementation

6.3.1. Performance period is based on a calendar year. Goals are set, monitored and evaluated on yearly basis.

6.3.2. Meetings between the performance evaluator and the staff during the goal-setting, monitoring and performance evaluation periods should be one-on-one meetings.

6.3.3. In respect of new staff working less than 6 (six) months, it is recommended to evaluate their performance with the performance score “C” (Expectations Successfully Realized). In order for the performance evaluator to request that the performance of the staff is evaluated with a performance score other than “C” (Expectations Successfully Realized), it is advised that the staff has an approved goal and competency card, and has completed at least 3 (three) months of service.

6.3.4. In the event the staff has begun working with a different evaluator for less than 6 (six) months due to change of department/duty, performance evaluation meeting is conducted with the former performance evaluator. Performance score is determined after obtaining the opinion of the new performance evaluator.

6.3.5. In the event the staff has worked more than 3 (three) months at two different departments due to change of department, 2 (two) separate goal cards can be created. Opinions of both performance evaluators shall be obtained when calculating the performance score, and final evaluation shall be done by the current department manager taking into account service times spent at different posts.

6.3.6. In the event the staff has been working with a different evaluator for less than 6 (six) months due
to change of department/duty, the goal-setting meeting for the next year is conducted with the current performance evaluator.

6.3.7. Staff, who will take or is already on maternity leave, are also assigned performance cards. If the staff is on medical leave evidenced by an official medical report, he/she is assigned a performance card covering the periods in which he/she is not on medical leave. In the event the staff, who is on maternity leave, has served less than 6 (six) months during the relevant performance period, it is recommended to evaluate her performance with the performance score “C” (Expectations Successfully Realized).

6.3.8. During the performance evaluation period, the staff and the evaluator conduct a performance evaluation meeting. At this meeting, the performance evaluator shares his/her overall opinion. The department manager/performance evaluator shares the final performance evaluation with the staff along with the salary raise notification letter.

7. METHOD

7.1. Establishing Department Work Plans In Accordance With University Priorities

7.1.1. Each department establishes annual work plans according to the university priorities declared by the President.

7.1.2. Work plan sharing meetings are organized by the Human Resources Directorate with the participation of department managers.

7.1.3. Department managers establish department goals in line with shared work plans.

7.1.4. Performance schedule in respect of the relevant year is announced at the university by the Human Resources Directorate.

7.1.5. Department managers share the work plans and department goals of the relevant year with department staff.

7.2. Goal-Setting Period

7.2.1. Department managers register their own goals using the online portal and commence the process in respect of their own staff on the system.

7.2.2. Performance evaluators meet with their staff to set goals and prepare performance cards.

7.2.3. Prior to goal-setting meetings, performance evaluators and staff undertake preliminary preparations.

7.2.4. In establishing goals for his/her performance card, the staff identifies indicator, unit, goal, lower limit, upper limit and weight values in respect of each goal.

7.2.5. During the goal-setting meeting, the performance evaluator reminds the staff of department goals. The staff shares his/her draft goals and individual development needs. Performance evaluator and the staff together go over the draft goals, expected competencies and individual development needs. Where required, the performance evaluator communicates his/her request for amendment to the staff. After making the necessary amendments, the staff finalizes the performance card.
7.2.6. Following the meeting, the staff registers his/her performance card in the system and sends it for the approval of the performance evaluator. Completed goal cards are approved by the performance evaluator and the goal-setting period comes to an end.

7.3. Performance Monitoring Period

7.3.1. During the monitoring period, the staff and the performance evaluator conduct a face-to-face midyear review meeting.

7.3.2. Prior to the meeting, the staff and the performance evaluator undertake preliminary preparations by compiling goal realizations and relevant concrete examples regarding competencies, and by reviewing the progress in the development plan.

7.3.3. It is essential that participators conduct the meeting in a participative manner with a positive outlook, based on concrete data and examples.

7.3.4. The performance evaluator is required to remind the staff of expectations in respect of goals and competencies; the staff is required to communicate his/her own evaluation and feedback; the performance evaluator is required to share his/her evaluation and feedback; and discussion of action steps regarding goals that call for re-planning is required.

7.3.5. In the event of a need for goal revision after the meeting, this should be presented to the senior manager accompanied by it’s reasoning, and the goal revision approved by the senior manager should be shared with the Human Resources Directorate.

7.4. Performance Evaluation Period

7.4.1. Prior to the performance evaluation meeting, the staff and the performance evaluator undertakes personal evaluation of realized goal values and/or competencies as preliminary preparation. They prepare actual goal values for sharing during the meeting.

7.4.2. The staff enters his/her personal evaluation regarding his/her goals on the online system and submits it for the approval of the performance evaluator.

7.4.3. In the event the performance evaluator considers it necessary for the competency evaluation of the staff, he/she can obtain the opinion of the persons the staff has been in contact with and/or persons with whom the staff has worked together during the year for work purposes to form his own evaluation.

7.4.4. Once the performance evaluator completes all preparations, he/she takes the necessary steps to organize the performance evaluation meeting.

7.4.5. During this meeting, the performance evaluator listens to the personal evaluation of the staff, and shares with the staff his/her feedback regarding work outcomes and competencies that the staff displayed during the year along with observations regarding the strengths and areas for development of the staff.
7.4.6. In the event the performance meeting ends with agreement regarding goals and/or competencies, the card becomes ready for approval.

7.4.7. If the meeting does not come to an agreement, the performance evaluator and the staff conduct a meeting with the senior manager.

7.4.8. The performance evaluator completes the competency evaluation of the staff and enters it on the online system, and approves the goal realization values entered by the staff on the online system. Goal realizations and/or competency evaluation are calculated according to their respective weight to determine the performance score (on a scale of 0 to 150).

7.4.9. The performance evaluator shares staff performance evaluations, performance scores and anticipated performance scores with the department manager.

7.4.10. Final evaluation regarding performance scores is undertaken by the department manager. The department manager finalizes the distribution of performance scores (A-E) in his/her department.

7.4.11. Final department performance scores are communicated to the Human Resources Directorate in accordance with the determined schedule.

7.4.12. The approved performance score is shared with the staff by the performance evaluator along with the salary raise letter.

8. RECORDS AND ANNEXES

   Annex 1: Koç University Competency Reference Guide
   Annex 2: Performance Form
   Annex 3: Koç University Indicator Pool
   Annex 4: Criterion-Based Card

9. REVIEW

   The responsibility for reviewing and updating this document belongs to the “Human Resources Directorate”. Review is a constant, on-going process, and the procedure should be revised if and when revisions to the performance management process become necessary.
10. AMENDMENT/CIRCULATION/APPROVAL TABLE

<table>
<thead>
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<tr>
<td></td>
<td>January 1, 2012</td>
<td>New Publication</td>
<td>Human Resources Directorate</td>
</tr>
<tr>
<td></td>
<td>31 December 2013</td>
<td>Revision</td>
<td>Human Resources Directorate</td>
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<tr>
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<td>1 January 2015</td>
<td>Content under headings “Basic Principles” and “Method” has been updated in accordance with the new process.</td>
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Circulated To (Relevant Departments)

All Koç University Departments

Conformity Approval (Human Resources Directorate) | Enforcement Approval (President)