

**SUPERVISOR'S GUIDE TO
PERFORMANCE MANAGEMENT-DEVELOPMENT**

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1. General Policy

- a. Evaluation of faculty performance is conducted as specified in OP 32.32.
- b. Each administrator is charged with responsibility for the development and communication of job standards and other work criteria to employees under his/her charge, to provide each employee with periodic feedback regarding work performance, and to provide Personnel with documentation that a written annual performance appraisal has been conducted for each full-time staff employee.
- c. Administrative officers will review with each reviewer the process used for determining the merit of each staff member's performance in order to ensure that performance appraisals are conducted without regard to an employee's race, color, religion, sex, age, disability, national origin, Vietnam Era or Special Disabled Veteran status, genetic information, or refusal to submit to a genetic test.
- d. To assist in the fulfillment of this charge, the managing director of Personnel shall make available to each administrator a *Supervisor's Guide to Performance Management-Development*, which includes the performance evaluation form, and will send periodic performance evaluation reminders to administrators.
- e. A written evaluation can be conducted at any time; however, monthly reminders to prepare a written evaluation of work performance of each full-time staff employee will be sent to administrators:
 - (1) Just prior to the employee completing the initial six months of service;
 - (2) Three months after an employee receives an overall evaluation rating of "Unsatisfactory" or "Does Not Meet Expectations"; and
 - (3) Eleven months after an employee receives an overall evaluation rating of "Meets Expectations," "Exceeds Expectations," or "Significantly Exceeds Expectations."
 - (4) An employee's name will remain on the monthly reminder list until a new performance evaluation for that individual has been received in Personnel.

2. Purpose of the Performance Management-Development Plan

- a. Performance management focuses on the supervisor's basic responsibility: encouraging results through the efforts of other individuals. A performance management concept broadens the understanding of performance evaluations and places performance evaluations in a larger and more understandable context.
- b. Performance management is a communication process to be used by a supervisor and employee in achieving the performance and rewards both desire. When a supervisor adopts a

performance management stance, open communications are encouraged and the employee will find it easy and desirable to approach the supervisor any time there is a job performance question. Likewise, the supervisor can make periodic adjustments in the employee's job performance without the employee feeling threatened. Performance management approaches must be flexible enough to accommodate this reality.

- c. Supervisors should initiate and encourage the interactive techniques necessary for effective performance management. The procedures outlined in this guide are intended to assist each supervisor in improving the communication and evaluation process.
- d. The role of the supervisor in the performance management process is not unlike the role of a good coach. A good coach trains players intensively by instruction, demonstration, practice, and by providing feedback that helps each player improve. The Performance Management-Development Plan, when used correctly, is one effective feedback mechanism that encourages improvement of the work performance of each employee. It also provides a plan of action for the employee and a plan of action for the supervisor, intended to improve both the work performance of the employee and the communication between the employee and the supervisor.

3. How to Use the Performance Management-Development Plan

- a. Effective performance management involves more than completing the form and discussing it with the employee. The written performance evaluation form and conference should reflect a summary of communications that occurred throughout the year. The kinds of communications that aid an employee in improving job performance come only through the proper utilization of the phases of a performance management-development plan.
- b. There are five phases to this performance management-development plan:
 - (1) The preparation phase
 - (2) The rating phase
 - (3) The administrative review phase
 - (4) The employee conference phase
 - (5) The follow-up phase

4. The Preparation Phase

- a. The preparation phase consists of:
 - (1) Developing with the employee a clear position description and clear statements describing a job well done using clear job standards or work goals using the *Position Description Questionnaire* (PDQ);
 - (2) Maintaining records on performance; and
 - (3) Providing feedback on how well the employee is doing.
- b. The PDQ should list specific duties and responsibilities for the employee's particular job in the department or section. This is not the classification specification developed by the Personnel Department.
- c. The PDQ should have the following elements to be effective:

- (1) The principle, essential, and marginal functions of the employee, written so they can be clearly understood
 - (2) The supervisor's expectations of the job, clearly defined
 - (3) The supervisory relationships of the job (the person who supervises the employee and those persons whom the employee supervises)
- d. The supervisor and the employee should work together to keep the PDQ current, realistic, and understandable.
- e. The job performance standards contained in the PDQ are statements of conditions that will exist when a job is performed satisfactorily (see page 9). Sample job responsibilities for several positions as they might appear in a PDQ are on the left-hand side of page 9. Examples of performance standards for each job responsibility listed are on the right-hand side of the page.
- f. Performance standards are best:
- (1) Identified with a specific job responsibility in the job description (sometimes one job responsibility will have several performance standards).
 - (2) Stated in precise terms expressing quantity, quality, manner of performance, and time;
 - (3) Developed jointly by the supervisor and the employee;
 - (4) Periodically updated to reflect changes in work conditions; and
 - (5) Used to describe results the supervisor wants to obtain.
- g. Every job should have observable factors of quantity, quality, time, or cost, which will help identify performance standards. The employee should know in advance the standards the supervisor is going to measure and the level of quantity, quality, time, or cost that will indicate satisfactory performance on the job. Clear job descriptions and well-defined performance standards and goals are essential to good supervision and good performance management. The clearer the employee's understands what is to be accomplished, the greater the probability of success. An employee's progress or success can be measured only in terms of how well the desired results are accomplished. Ideally, goals and performance standards are so clear that the employee can evaluate work performance before the supervisor.
- h. A performance evaluation should be a **summary** of previous discussions with the employee and daily instructions to the employee. There should be no surprises when evaluation of work and feedback to the employee actually occur on a routine basis, as work is processed and new instructions are given or revised. The written evaluation document is only a summary of these previous discussions.
- i. Keeping a record of notable incidents affecting an employee will help the supervisor make summaries of the work in a more accurate and just manner. Each supervisor can develop a file in which written factual examples of specific occurrences that are better than average or less than average are kept (see sample on page 10), to assist in recalling performance incidents. This file should be a record that describes who, what, when, and where, along with the consequences of the incident. The following suggestions are provided for maintaining an incident file:
- (1) Keep a separate file on each employee.

- (2) Do not make the file secret; let the employee examine the employee's own file upon request (it is against the law to maintain secret files on your employees).
 - (3) Always discuss the incident with the employee before putting a record of any incident into the file.
 - (4) Continually review the files and destroy material three to four years old.
- j. An employee can be requested to initial or sign an incident document as acknowledgement of the event, conference, etc. If an employee refuses to sign when requested, make a notation of that on the signature line. An employee can make a response to an incident file or evaluation form and make that a part of the file or evaluation form.
- k. Feedback on performance should be given immediately or at the most opportune time following the need for feedback.
- (1) Positive feedback is appropriate immediately, publicly (in front of others).
 - (2) Negative feedback is appropriate as soon as possible after the need occurs, except:
 - (a) In private, not publicly;
 - (b) Allow time for "cooling down" if emotions are involved; and
 - (c) Allow time for investigation or research to avoid inaccurate accusations.
 - (3) Notes of both positive and negative feedback should be kept in an incident file.
- l. The positive discipline policy and procedure is discussed in OP 70.31, Employee Conduct, Discipline, and Separations.

5. **The Rating Phase**

- a. Prior to completion of the form, a supervisor should review the job description, the defined performance standards, the incident file, and other factual material. The form should summarize the effectiveness of an employee's work since the last formal review. The rating phase consists of completion of the form using a numerical rating, narrative comments, or both.
- b. The form may be reprinted from this OP or accessed online from the Personnel Department Web site at <http://www.depts.ttu.edu/personnel>. (See Attachment B for reproduction of forms and detailed instructions for completion). The supervisor should review the form and utilize the method considered most appropriate for communicating with the employee.

6. **The Administrative Review Phase**

- a. After the rating form has been completed but before it is discussed with the employee, the supervisor should review proposed ratings with the next higher-level administrator. The purpose of the review by the next higher administrator is twofold:
 - (1) The administrator serves as a leveling agent to bring about consistency between the various evaluators (supervisors) in a given area of responsibility; and
 - (2) The discussions between the supervisor and the administrator provide feedback to the supervisor as to how the supervisor may be fulfilling the supervisory role and how well the supervisor's unit might be functioning.

- b. Individual employee work objectives are quite often redefined in discussions between a unit supervisor and the administrator. In this manner, each supervisor is a link in a communication chain between both the administration and the employee in that organizational unit. Two levels of supervision are thus brought into the goal setting and review process for each employee.
- c. After review, **both** the supervisor and the administrator **sign** the rating form.

7. The Employee Conference Phase

- a. A supervisor should discuss an employee's work performance frequently enough to provide the employee with adequate feedback to perform the work satisfactorily. The frequency of these discussions differs with each individual and is dependent on the individual employee's skill level, type of work performed, work environment, etc. The frequency of discussion should be often enough to build up an atmosphere that encourages an exchange of ideas and feelings about the job between the employee and supervisor, to eliminate an uncomfortably strained atmosphere.
- b. The formal employee conference, including a discussion of an official written evaluation, is a summary of the other less formal evaluations or discussions that have taken place throughout the year.
- c. The conference is another opportunity for the supervisor to perform one of the most important tasks of a supervisor: that of providing feedback to employees. The conference allows the employee to determine how they are doing, both generally and in relation to specific objectives. It also provides an opportunity for the employee to give feedback to the supervisor.
- d. The formal employee conference takes considerable preparation. To prepare for this conference, the supervisor should:
 - (1) Let the employee know ahead of time when the formal conference will take place, since the employee is also entitled to prepare for the conference;
 - (2) Review the employee's job description; and
 - (3) Review the completed rating form, incident file, and any other records indicating degrees of performance.
- e. The employee conference should be conducted in private, close to the employee's work area. This will reduce any feelings of strangeness or strain.
- f. The ideal employee conference is one in which the employee being appraised does most of the talking and makes an accurate appraisal. Starting the conference and getting the employee involved immediately in the discussion is extremely important. From the start, strive for a friendly and relaxed atmosphere. Begin by explaining the purpose of the conference and its value. The supervisor should then discuss the job itself and the performance standards that have been established before discussing how well the employee may have met these standards. The supervisor should confirm the commitment to making the conference as productive as possible for the employee and for the department. Supervisors should show appreciation of the

employee's successes and direct any criticism at the employee's work rather than at the employee personally.

- g. Discuss each rating and write out with the employee the goals and activities the employee will be seeking before the next formal review to continue to grow, develop new skills, or improve other aspects of job performance. Identify any recommended changes in job performance needed to promote the employee's development.
- h. The supervisor should be a good listener, be patient, and ask leading questions that permit learning about the department or office. Above all, the evaluator must not be argumentative. The objective is not to criticize, but to help the employee understand and accept the positive and negative aspects of job performance. Treat the employee the *SERVICEplus* way you want to be treated when your performance is evaluated!
- i. The conference should be closed by summarizing the employee's work performance. A plan of action should be developed with the employee. Such a plan should include specific objectives or goals and, if appropriate, timetables for the supervisor and the employee that will assist the employee in improving work performance.
- j. Finally, the supervisor should have the employee sign the *Staff Performance Management* form and provide a copy to the employee. If the employee refuses to sign the form, make that notation on the signature line or form. The employee can make a written response to the evaluation. This response becomes a part of the evaluation.
- k. The distribution of the *Staff Performance Management* form should be made by the administrator as follows:
 - (1) Original should be given to the employee
 - (2) One copy should be forwarded to the Personnel Department for placement in the employee's personnel file
 - (3) One copy should be retained in the departmental files.

8. The Follow-Up Phase

- a. The follow-up phase involves the supervisor making sure the plan of action agreed upon during the employee conference is being carried out. This may be something the supervisor agreed to do, or something the employee agreed to do.
- b. It also involves creating a climate of open communication so that the employee will find it easy and desirable to approach the supervisor for further help or discussion at a later date.
- c. The follow-up phase of one evaluation also becomes the preparation phase for the next evaluation. In this manner, the cycle continues from the employee's first day of work throughout their employment.

**EXAMPLES FROM INDIVIDUAL
JOB DESCRIPTIONS AND PERFORMANCE STANDARDS**

JOB FUNCTIONS

STANDARD OF PERFORMANCE

Secretary

- | | |
|---|--|
| 1. Performs all typing for the department | 1. Less than 3% of the work is returned for correction due to poor typing |
| 2. Receives and distributes all mail after it arrives in the office | 2. Distributes all mail within 30 minutes of its arrival in the office |
| 3. Answers the phone | 3. Phone will be answered courteously on or before the third ring. No person will be put on hold for more than 40 seconds. |

Carpenter Foreman

- | | |
|--|---|
| 1. Responsible for safety in the shop | 1. Number of work hours lost due to accidents in the shop does not exceed 1% during the fiscal year |
| 2. Keeps scrap loss in the shop at a minimum | 2. Will reduce scrap loss by 5% over last year's record in the final operating report |

Cashier

- | | |
|---|---|
| 1. Responsible for the accurate accounting of all money and banking instruments | 1. Signature indicates acceptance and agreement of all amounts received or released. Overs and shorts never in excess of .5% of total funds as measured on a three-month basis. |
|---|---|

Administrative Assistant

- | | |
|--|--|
| 1. Maintains good public relations with students and faculty | 1. No more than one complaint a month from students or faculty about rude or poor treatment. |
| 2. Keeps overtime costs down in the section | 2. Overtime costs per fiscal year will not exceed \$500. |

3. Orients all new employees

3. All new employees will go through the entire office and personnel orientation procedure before their third workday

Director

1. Writes proposals, grants, and applications with other agencies to increase funding to and services
2. Monitors quality of services delivered
3. Meets with peers to ensure quality programs

1. Establishes and maintains affiliation with no less than **three** other agencies increase funding and service
2. Quality determined by the level of customer satisfaction
3. Meetings result in the use of **all** available resources for delivery of quality program

Manager

1. Provides wage and salary support by advising administrators on varied wage and salary information, personnel placement requests, and *Position Description Questionnaires*
2. Provides benefits support by answering questions regarding insurance, retirement, leave records, paychecks, and discounts.
3. Provides disciplinary support by assisting supervisors in all areas of disciplinary problems with subordinates

1. Information is accurate and timely. Forms are reviewed to ensure they are in accordance with current policies and procedures. Analysis considers all factors.
2. Information is accurate and timely; benefits information is entered accurately into system.
3. Disciplinary action is administered in accordance with TTU OP 70.31, Employee Conduct, Discipline, and Separations.

SAMPLE EMPLOYEE INCIDENT FILE

Employee: Mary L. Jones
Classification: Secretary
Date of Hire: September 1, 2003

Date	Incident
10/13/03	Absent - Did not call in.
10/15/03	Discussed failure to call in. Advised she was too ill to talk on phone. Reminded her of call-in rule.
10/19/03	30 minutes late. Held up in traffic.
11/11/03	Absent. Called in at 3:30 from Ruidoso where skiing over weekend. Snowed in.
11/18/03	18 minutes late. Alarm clock failed to go off. Advised her that her attendance record was poor and she must improve.
12/08/03	B.J.W. advised that Mary did an outstanding job for him on typing reports. So advised Mary.
12/14/03	Found seven typographical errors on the weekly report. Mary said that B.J.W.'s writing is terrible. I agree, but the errors made were transposing figures. Ex. 1610 typed as 1160. She promised to be more careful.
01/03/04	Mary cleaned up and organized the office storeroom. This room could have become a definite fire hazard. Mary did this on her own initiative. Told her she did an outstanding job.
01/19/93	Mary found a procedural error in a report submitted by B.J.W., which saved three hours of typing. Complimented her for her alertness.