A STUDY OF THE EMPLOYEE PERCEPTIONS OF TRAINING

FOR AND THE IMPLEMENTATION OF A NEW

PERFORMANCE APPRAISAL SYSTEM

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CHAPTER I

INTRODUCTION

Indian Nations Council of Governments (INCOG) is a coordinating

agency which provides services for member units. Member units include

Tulsa County, Osage County, Creek County, and city units within those

counties. The agency consists of four major divisions. Those divi-

sions are Membership Services, Land Development Services, Planning and

Office of the Director. (See Appendix O--Organization Chart). The

agency has approximately sixty employees. Most employees have highly

concentrated areas of expertise; therefore, there is often little

understanding of the jobs done by other departments.

A needs assessment conducted by the manager of human resources

indicated that employees felt that the performance appraisal system was

not based on evaluation of an employee's work performance but was based

on evaluation of an employee's personal traits. Perceived unfair

evaluation was given by many employees as the reason for low morale.

Because of the identified concern, a new performance appraisal

system was developed which emphasized evaluation of job related behav-

iors. Also, the system was designed to encourage communication between

employee and supervisor on a regular basis. The system encouraged

individual employee input into job design and evaluation criteria.

Career development for the employee was addressed in the performance

appraisal system.

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In order to implement the new system, a series of training sessions was planned and implemented. The training consisted of two specific types of training. A consultant was brought in to help employees reduce to writing their job functions and to determine what were appropriate criteria for evaluation. Another consultant, who specializes in organizational development, provided the second part of the training. These sessions consisted of training in the art of communication. These sessions were designed to help both manager and employee understand communication techniques. Both manager and employee were charged with responsibility to make the process effective.

The new performance appraisal system was developed after much research by the manager of human resources. Much of the development was based on information provided by George L. Morrisey (1983) in his book Performance Appraisals in the Public Sector. The system was called the Performance Development Plan (PDP).

Because it was felt that an outside person would have more credibility with the staff than someone on the management team, the intern was asked to assume the responsibility for facilitating the training process by attending all sessions of training and providing one-to-one information and counseling on the performance appraisal process.

Statement of the Problem

The problem was that the agency was using an appraisal system which employees perceived did not accurately assess their job performance.

Purpose of the Study

The purpose of this study was to determine whether employees
perceived the new performance appraisal system to be one that would more
fairly evaluate their job performance.

Research Questions

The study was designed to answer two major questions:

1. Did employees perceive the training for implementation of
the new appraisal system to be adequate and effective?

2. Did the employees perceive the new appraisal system to
more fairly evaluate their job performance?

Assumptions

The assumption was made that interviewing one-third of all employ-
ees would adequately represent the opinions of all employees.

An assumption was made that if the new appraisal system improved
the working relationship between employee and manager and resulted in a
more fair evaluation, employee morale would improve.

Limitations

The intern was limited to interviewing those employees who had met
with their supervisor to negotiate the individual Performance Develop-
ment Plan.

Definitions

Career Development is a plan for developing skills and knowledge of

employees to allow them to do the current job better or to advance in
the organization or move to another job in another organization.

Evaluation is the process of judging an employee.

INCOG is the acronym for Indian Nation Council of Governments.

Performance appraisal system is the system used by an organization
to estimate the value of an employee's performance to that organization.

Performance Development Plan is INCOG's name for its performance
appraisal system.

Summary

After an internship with INCOG, the intern gathered information
which would answer the question top management at INCOG had asked. The
management wanted to know if overall employee morale would improve as a
result of the implementation of the new performance appraisal system.

CHAPTER II

REVIEW OF LITERATURE

There is an abundance of literature concerning performances ap-
praisal systems. The literature review has focused on four areas:

Reasons for a Performance Appraisal System

Characteristics of Good Systems

Problems in Appraisals

Unique Features of INCOG

Reasons for An Appraisal System

Effective performance appraisal systems have many benefits for
organizations. All managers do either formal or informal evaluations.
These evaluations are used to promote people, terminate people, give
raises, give additional responsibility, determine staffing needs,
communicate expectations, and make other human resource decisions.
Deegan (1977, p. vii) says, "As a manager you have a responsibility to
work constantly towards the best organizing of resources possible.
People organizing is a part of this responsibility. . . the successful
manager, like the successful coach, is the one who can unleash the full
potential of individuals." Effective appraisals are needed by employers
in order to make plans for future actions (Johnson, 1979).

Employees need to have their performance evaluated in order to know
where they stand (Johnson, 1979). To increase productivity of any

organization, employees must be effective in their job. In order to be effective, employees need to know in advance what they are expected to do and what they are expected not to do (Schub, 1984).

There are two major benefits of an effective performance appraisal process. Benefits fall into two categories, either loss avoided or value added. Benefits accrue to the organization, the individual supervisor, and the individual employee.

For the Organization--Loss Avoided
    Reduced liability for potential legal action related to
        non-compliance, discrimination, or 'reverse'
        discrimination in personnel actions
    Reduced cost of litigation
    Reduced loss of organizational image through 'bad press'
    Reduced employee turnover
    Reduced losses resulting from ineffective performance,
        gross negligence, or willful misconduct
For the Organization--Value Added
    Improved overall productivity
    More effective and efficient use of personnel
    Improved internal communications
    Greater attraction to potential new employees
    More motivated employees
    Improved potential for the future
    Recognized compliance with Civil Service Reform Act
        and other relevant legislation
For the Individual Supervisor--Loss Avoided
    Avoidance of possible personal legal and financial
        liability as a result of improper personnel actions
    Reduction or elimination of adverse personnel actions
        due to poor communications
    Reduction of criticism from higher level management
        for what may be perceived as poor supervision
    Reduction of non-productive or counterproductive
        conflict with and among employees being supervised
    Reduction of stress over conflicts related to employee
        improvement through use of regular progress reviews
For the Individual Supervisor--Value Added
    Improved performance by those being supervised
    Better personal performance rating because of improved
        performance of those being supervised (presumably
        resulting in greater personal reward and
        recognition)
    More stable work group
    Increased group morale and productivity
    Better understanding and agreement related to group
        and individual expectations

Increased group morale and productivity
A feeling of being 'in control'
 Better qualified replacements for key positions
For the Individual Employee (Supervisee)--Loss Avoided
 Avoidance of possible loss of advancement, increased
  compensation, or employment because of a lack
  of understanding of job expectations or of current
  performance compared to those expectations
 Decreased likelihood of being given undesirable assignments
 Reduction of conflict with supervisor and co-workers
 Reduction or elimination of the frustration from not
  knowing 'where I stand'
For the Individual Employee--Value Added
 Better picture of where he or she is going, career-wise
 Clear understanding of supervisor's expectations
 Continuous update of performance against those expectations
 Greater personal reward and recognition for meeting those
  expectations
 Opportunity to increase capability and value through agreed
  upon development plan
 Opportunity to contribute more directly to organizational
  as well as personal improvement (Morrisey, 1983, p.2).

Characteristics of a Good System

Kirkpatrick (1982) lists five requirements for an effective performance review program.

1. The program must fit the organization.

2. The program must be communicated to everyone in the organization.

3. The program must be sold to everyone in the organization.

4. The reviewers must be trained.

5. Appropriate controls must be established.

In order to meet the criteria suggested by Kirkpatrick everyone in the organization must be committed to the system. Smith (1977, p. 49) says, "A prime prerequisite for an effective performance review program is that everybody participates in it, from the chief executive to the lowest supervisor in the hierarchy." Johnson (1979) indicates that the

most effective systems are those where a supervisor and a subordinate do the appraisal together.

The program must fit the organization. To have an effective appraisal system, an organization must create its own system and provide training for its use (Patten, 1982). Each organization will have unique characteristics which will determine what system of appraisal will be most effective. Each organization will need to design an appraisal system which is most appropriate for its use. Training will need to be designed for employees to understand how to use the system effectively.

An effective appraisal system will potentially increase the performance of an employee. Dakin and Cobb (1984) report that there are four major factors influencing individual performance within a group. Those factors which must be taken into account are motivation, ability, conditions, and expectations.

Appraisal systems do appraise abilities. Sometimes conditions an employee works under are taken into consideration when appraisals are done. Motivation and communicated expectations should be a part of any good appraisal system. Frequently communicating expectations is, in fact, motivation for employees. When setting high performance standards, a supervisor should recognize that expectations themselves provide self-fulfilling prophecies (Pfeiffer and Goodstein, 1984). Forewarning about expectations tends to promote desired behaviors. The burden of communicating expectations rests with supervisors (Schub, 1984). Employees tend to do what they believe they are expected to do (Hersey and Blanchard, 1977).

Pfeiffer (1984) suggests a formula of competence plus commitment plus effort equals results which should equal rewards. Any organization

which values productivity will need to help individuals focus on the

__expected__ performance. Requiring individuals to meet expectations sends

a clear message of expectations to other employees.

When setting high expectations, a manager must realize that "subor-

dinates will not be motivated to reach high levels of productivity

unless they consider the supervisor's high expectations are both realis-

tic and achievable. If they are encouraged to strive for unattainable

goals, they will eventually give up trying and settle for results that

are lower than they are capable of achieving" (Hersey and Blanchard,

1977, p. 15).

As a part of the appraisal system, a supervisor should be using the

system to provide motivation for employees. Motivated employees tend to

become better and more productive employees. Glasser (1984) says that

praise is a good motivator. In other words to get one to do something,

he/she must be shown how it will satisfy him/her. Also Eckstein (1983)

says that management must use encouragement as a means of increasing

motivation and combatting feelings of inadequacy.

__In Search of Excellence__ suggests that management must give employ-

ees control over their own destinies. Management must respect employees

and that respect must include a willingness to train and set reasonable

and clear expectations. Peters and Waterman (1982, p. 238) state,

"Treat people as adults. Treat them as partners; treat them with

dignity; treat them with respect. Treat them. . . as the primary source

of productivity gains."

Likert discovered that high producing supervisors ". . .make clear

to their subordinates what the objectives are and what needs to be

accomplished and then give them freedom to do the job" (Hersey and

Blanchard, 1977, p. 52). Also Mayo found that when informal groups identified with management, production rose. These authorities all suggest that employees should have information about what needs to be done and should be allowed to have input in how to accomplish their jobs.

An effective appraisal system will set high, but realistic, expectations, will provide communication to employees about what those expectations are, and will allow employees the freedom to determine how to achieve those expectations. The system will be tailored to fit the organization and everyone in the organization will participate.

Problems in Appraisals

There are problems with any appraisal system. Although most upper management agree that effective appraisals are important and that appraisals take time, few managers are willing to invest the amount of time necessary to create a good rapport with employees to ensure effective appraisals (Peters and Waterman, 1984). It is a myth that time spent on appraisals is wasted. In fact, the time spent on effective appraisals reduces stress and improves morale (Myers, 1985).

Too often top management will try a "gimmick approach" to gain employee involvement. This approach gives management an excuse to say they have tried to encourage employee involvement. Unless the top management gives complete support, the process has little chance for success (Peters and Waterman, 1984). When a performance appraisal system is in place, a supervisor may choose to ignore it, fight it, or try to beat it. A truly successful supervisor will use the system to strengthen his employees and thereby his unit (Morrisey, 1983).

Managers and employees often see the job from very different perspectives. Myers (1985, p. 14) says,

> Studies have shown that when the supervisor and the worker are asked independently what their understanding is regarding the standards and responsibilities of the job, less than half of them agree.

It takes open communication on an ongoing basis for supervisors and employees to agree on expectations and criteria for evaluation. Every manager should listen to an employee's assessment of his/her job because he/she may well know something about his/her job that his/her manager does not understand (Glasser, 1984).

To achieve the maximum effectiveness, appraisals should be done regularly and not just yearly when salary adjustments are made. Many employees look to appraisal as the time for salary adjustments rather than a planning and development process. Focus for an annual review must change from salary administration to people development. An annual review can never take the place of the manager's ongoing responsibility to evaluate performance (Deegan, 1979).

Smith (1977) says that the major weakness in performance appraisal systems is that too often the system is designed to evaluate personality traits. Focus should be on specific job performance based on expectations and not judge personality traits unless those traits effect job performance. A manager must focus on observed behaviors (Patten, 1982). There will always be some subjective analysis in performance appraisal systems, but it is important to direct that analysis to what an employee does in his job that can be supported by objective data (Morrisey, 1983).

No one enjoys appraising employees. "Passing judgment on another

human being is an awkward exercise at best, a breeding ground for rancor

and hostility at worst" (Rice, 1985, p. 33). To be seen by employees as

worthwhile, an appraisal must be based on documentation (Myers, 1985).

All evaluations should be based on performance expectations that are

known in advance to employees. Glasser (1984) says a supervisor and an

employee should sit down together and look at what is working and what

is not working. The supervisor should point out what the supervisor

did, what the employee did, and where the picture differs.

Problems which create obstacles to effective performance appraisal

are lack of commitment of top management, lack of time devoted to the

process, different perspectives about expectations and criteria, focus

on yearly salary administration, and focus on personality traits which

are unrelated to job performance.

Unique Features of INCOG

Small agencies have some unique characteristics which make employee

appraisal particularly difficult. Small agencies are particularly

vulnerable to impact from outside forces. When an agency has limited

functions, it cannot switch personnel to other projects or other lines

of work as larger organizations can. Also small organizations may

at times, require rapid growth to accomplish a specific task; and,

although there may be an adequate number of employees, they may not have

the prerequisite skills to accomplish the specific task (Bates, 1984).

In a small organization, it is particularly important to design an

appraisal system unique to the organization (Rice, 1985). Because most

performance appraisal systems are designed for large organizations and

because most small organizations have employees who perform more than

one function, a system designed for another organization will seldom work well.

When an agency is primarily funded through government sources, the public will assume that there are poor workers who are being kept on at taxpayers' expense. The supervisor who has demonstrated effective performance appraisals which result in efficient, effective workers is much less vulnerable to budget restraints and cutbacks (Morrisey, 1983).

A governmental agency must also be aware of its relationship to the media. The performance of individual employees is subject to close scrutiny. A supervisor must be aware of what is recorded in official documents. If careless or unfounded statements are recorded in official documents, those statements may appear in public or in the media. Being aware of the close scrutiny may suggest careful wording of statements in appraisals (Morrisey, 1983).

An organization whose major concern is completing projects that require highly technical and specialized functions often operates under a matrix management system. Matrix management is management whose project teams are formed for each project. Those team leaders and team members are grouped differently for different project objectives. Team leaders may be competing for highly technical and specialized skills. The direct supervisor who evaluates the employee is not the only person who directs the employee. To avoid problems an organization which utilizes a matrix management system, team building and communication skills must be developed (Morrisey, 1983). An accurate appraisal cannot be accomplished unless supervisors know what the employee is doing and communicates with other supervisors who are directing that employee.

Because organizational funding and planning is often broad-based

and there is approval of specific programs, a supervisor may run the risk of being second-guessed by an elected official who may be uninformed yet push a specific point of view. Recognizing that these officials are "customers" whose needs and wants must be considered, a supervisor may want to include communication with those elected officials as a performance element (Morrisey, 1983). Performance elements are the standards which will be used to judge an employee.

Summary of Literature

Effective appraisal systems are important tools in developing and sustaining productive organizations. Effective systems are those systems which top management endorses and communicates that endorsement to the entire organization. Many problems can be alleviated when top management rewards those managers who take time to effectively implement an ongoing appraisal system.

Although INCOG has many characteristics unique to small, governmental agencies, Morrisey (1983, p. 26) says, "Performance appraisal has a legitimate place in government."

An effective and meaningful appraisal process is necessary to the success of every employing organization.

CHAPTER III

METHODOLOGY, FINDINGS, CONCLUSIONS

AND RECOMMENDATIONS

Methodology

The purpose of this study was to determine whether employees
perceived the new performance appraisal system to be one that would more
fairly evaluate their job performance. Ultimately management would
judge whether or not the new performance appraisal system would improve
employee morale.

Findings in this study were gathered in individual interviews.
Interviews were conducted with all managers and selected employees.

During December, 1985, and January, 1986, after the implementation
of the Performance Development Plan (PDP), the intern scheduled inter-
views with 24 INCOG employees to interview them about their perceptions
of the training for and implementation of PDP. The interviews were
scheduled to occur after the first PDP session between manager and
employee.

The specific employees to be interviewed were determined by random
drawing of employees under each manager. Approximately one-third of the
employees reporting to each supervisor were chosen. Four managers had
three or fewer direct supervisees, so only one employee was chosen from
each manager's group. Two employees were interviewed in two depart-
ments. There were three interviews scheduled for Manager # 7. Six

15

interviews were scheduled for employees under Manager # 8. Seven

interviews were scheduled with employees who are supervised by Manager

9.

Nineteen interviews were actually conducted. Five interviews were

not completed because the PDP negotiation session had not been held by

the end of March. Manager # 7 had not completed one conference.

Manager # 8 had not completed one conference. Manager # 9 had not

completed three of the seven conferences for employees selected to be

interviewed.

<div align="center">Findings</div>

The overall pattern indicated a positive response to increased

communication, a feeling that PDP would enhance their working relation-

ship with their manager, and a belief that the evaluation process would

be improved.

Employee Interviews

The responses to the questionnaire (Appendix A) were as follows:

1. Did you feel your Performance Development Plan session went

well? Sixteen people felt the sessions went well. Three did not feel

their sessions were good sessions. Two of the three negative comments

came from employees of the same manager. (See Appendix B for detailed

comments)

2. Did you feel you had adequately prepared your Performance

Development Plan? Sixteen felt prepared and three did not feel pre-

pared. (See Appendix C)

3. Did your manager have an accurate picture of your job?

Thirteen employees felt as if their manager had an accurate picture.

Six employees did not feel their manager understood what they did. (See

Appendix D)

4. <u>Did the communication training enable you to communicate better</u>

<u>with your manager?</u> Eight employees indicated that the communication

training had enabled them to communicate better. Three said that maybe

it would help. Eight employees said that the training had not helped.

However, three said no because communication was already very good.

Additionally, three other no respondents indicated they had had similar

training before. (See Appendix E)

5. <u>Can you suggest future training which would help the PDP</u>

<u>process?</u> Eleven people responded that no particular training would help

the PDP process. No one had a specific training suggestion. (See

Appendix F)

6. <u>Do you feel PDP will improve your working relationship with</u>

<u>your manager?</u> Ten people responded that they felt PDP would improve

their working relationship with their manager. Three responded with

maybe. Six indicated that they felt it would not improve working

relationships because the relationship was already a good one. (See

Appendix G)

7. <u>Do you feel PDP will enable your manager to evaluate you more</u>

<u>accurately?</u> Thirteen indicated that they felt they would be evaluated

more fairly. Three said maybe. Three responded that they would not be

evaluated more fairly. One negative response indicated that there would

be no improvement because evaluation was already very successful. Two

negative responses felt the new system was unfair and set them up for

failure. Both negative responses came from employees with the same

manager. (See Appendix H)

8. a. <u>What was the most effective part of the training process?</u>
Six persons indicated the communication training was most effective.
Four respondents indicated the sessions about the actual mechanics of
writing were most effective. Two indicated the sessions that Bill
Bradley observed and coached were the best training. (See Appendix I)

b. <u>What was the least effective part of the training process?</u>
Five people said it was all effective. Six felt the sessions on mechan-
ics of writing were least effective. (Appendix I)

9. <u>What is the best result of the PDP process?</u> Twelve respondents
indicated in some way that the best result would have to do with im-
proved communication. Six responses indicated that the process of
writing had increased their own awareness of the responsibilities of
their specific job and helped in planning and prioritizing. (Appendix
K)

10. <u>What is the biggest problem you see with the PDP process?</u> Six
respondents saw the time involved as the biggest problem with the PDP
process. Two saw no real problems. Other answers were quite varied.
(Appendix K)

11. <u>Did you feel there was an equal sharing of information/talking</u>
<u>during the PDP interview?</u> Fourteen respondents felt there was an equal
sharing during the interview. Five respondents felt that the interview
was dominated by their manager. Three of the five who felt the inter-
view was not an equal sharing had the same manager. (Appendix L)

12. <u>Did you feel your PDP plan was truly negotiated?</u> <u>Or did</u>
<u>something else occur?</u> Nine respondents felt that their PDP had been
negotiated. Ten respondents felt that the plan was not negotiated in

the PDP session. Three of the negative responses indicated that the lack of negotiation was because a plan had been agreed on previously. Four of the negative responses indicated the manager had preconceived ideas and would not listen to their ideas. Three of these respondents had the same manager. (See Appendix M)

13. <u>Would you recommend this particular Performance Development Plan for another organization?</u> Fifteen employees responded that they would recommend this plan. Two employees said maybe they would recommend and two employees said they would not recommend the plan. (See Appendix N)

There is a general agreement that the PDP was a positive step in opening communication channels. The majority of employees felt that their relationship with their manager would improve and that they would be evaluated more fairly.

<u>Manager's Interviews</u>

The intern held interviews with all nine managers after at least one Performance Development Plan interview had been conducted. A summary of each interview follows:

<u>Manager # 1</u> felt that the new PDP was good because it seemed more objective. Communication had not been a problem for him so that training did not seem very important.

He felt that the process was too time-consuming. He felt that many of the objectives and performance standards were geared to larger organizations and less to service oriented agencies or businesses.

He felt the training sessions were too theoretical and not specific enough.

Manager # 2 felt it was a good process. He thought the opening of communication channels was a good step. The flaw in the process was trying to have measurable performance standards. He felt that the idea of setting standards was good, but felt that measurable standards will be very difficult to establish. He was very specifically against counting and quantifying. He felt that setting the standards was a good way for employees to set standards to themselves, but very unrealistic for managers to keep track of whether those standards had been met.

Manager #3 was very concerned about the amount of time that the process had taken thus far and would take in the future. He conceded that setting standards and measuring those standards was a good idea, but he felt that it would take too much time from technical matters. He felt that the Performance Development Plan sessions he had had were very successful. He felt he had complete and accurate communication with his supervisor and employees and that PDP would not help communication.

He felt that Bradley had been helpful to him during his actual session with his employee.

Manager #4 felt that the PDP process was a tremendous amount of work. He felt that one benefit was to take questions out of evaluation. He also felt that forcing communications was a good idea.

He felt that the measurements were fuzzy. He also felt that the process would force a supervisor to articulate expectations. Also he felt that the PDP process would force self-evaluation.

This manager felt that Bradley's coaching session was very beneficial.

Manager #5 felt that the best thing about the PDP was that clear and specific expectations would be outlined for employees. He also felt

that by setting out the expectations in advance, it would be much easier to evaluate performance.

Manager #6 said that he felt that this was a positive approach because it was the first time for actual measurement of job performance. Specific positive outcomes were that everyone would be more accountable, that managers must communicate expectations, and that the quarterly review would improve yearly evaluations.

He felt that he and his employees were well prepared. He felt that both parties would be required to be accountable for job performance and communication.

He felt that Bradley was very helpful and that the process had gone smoothly.

Manager #7 said that he felt "drained" but pleased with his PDP reviews. The sessions had taken more energy than he had anticipated. He felt the sessions had forced communication, especially regarding expectations. He felt that possibly there were some problems with using quantification in setting standards and felt that "gut-level" instinct frequently was the manager's indication of excellence.

He felt that some information on assertiveness and risk-taking would be appropriate for all employees in future training sessions.

He felt that the real success of the PDP would not be determined for six months or a year.

Manager #8 felt that as a communication tool the PDP process had been effective. His major concern was that to be effective, it would take a great deal of time. If the process ever goes fast, it won't be as effective.

He felt that there was some diversity of opinion as to how

objectives should be determined and how performance standards should be set.

He felt that the process would be a learning process for everyone, managers and employees.

Manager #9 felt that his people, as a whole, had a positive attitude and a relatively high level of trust which made his sessions easier.

The PDP process gave him a good chance to provide feedback to employees. This was an area where he felt he had not always done so well.

He felt that the PDP process had alerted him that employee's time was being spent on tasks which he was not aware. It has caused him to pay attention to those areas and make a decision regarding best use of employee's time and expertise.

He felt that his employees did not understand the area of career development.

He felt that there should have been more training time devoted to measuring performance and setting standards. He felt some diversity between the trainers and upper management regarding quantification. He was getting mixed messages.

He felt that Bradley's presence was not especially helpful. He did not get much feedback.

He assumes that time will make the process easier and that, in general, the PDP is helpful.

All managers see great potential in the new Performance Development Plan. All managers felt that the process took a large amount of time to do well. Most managers felt a little uncomfortable with understanding

how performance standards would be determined.

Conclusions

The PDP implementation was a step toward improving employee morale. The communication training was the most important part of the process. Managers and employees were beginning to discuss job expectations. The goal will be to have managers and employees agree upon what those expectations should be.

Because there was a wide variation about which training was most and least effective, it would seem that employees are on many different levels of training needs. This indicates a need to individualize training where possible to meet the needs of various levels of abilities. The varying levels of education and expertise indicated that the agency should make an effort to individualize training to a greater extent. Training directed to individual needs indicates the agency values employees. Benefits would accrue to the agency, if each person felt he/she were valued by the agency.

The professional staff did not need as much training time for the actual writing process as had been provided. The technical and support staff were somewhat intimidated by the writing process and would have benefitted by a smaller group with more individual coaching.

Although some employees previously had communication training, the communication training seemed to have a positive effect on employee morale. There was an indication that more open communication had occurred. Although some managers still found it difficult to let employees have a real voice in setting objectives and criteria for performance standards, most were genuinely trying to allow this participation. Only

one manager seemed unable to listen attentively to what employees were saying. He initiated communication but didn't hear the real frustrations of his employees.

Managers would do well to really listen to employees. Most employees interviewed have a well-defined picture of their job and often could perform more effectively if they were allowed to participate in structuring their activities, time, environment, and rewards.

Even though management made an initial commitment to the implementation of the process, there has not been a follow through to reiterate that commitment.

Managers were allowed to postpone the PDP sessions with no apparent consequences. Many managers and employees had the feeling that this was just another exercise and this too would pass.

The perception of the intern was that at least three managers did not have a real commitment to assuming the responsibility for employee development. Having moved up the management ladder from technical responsibilities, these managers were still more comfortable with producing a piece of work than managing people.

None of the three managers were the managers who have not finished their interviews. Nor was the manager who was not really listening one who was not committed to the process.

The majority of managers and employees felt that the implementation of a new performance appraisal system was a positive step even though most felt that it would not accomplish what they had been told it would do.

Recommendations

The intern would recommend that a continued emphasis be given to the importance of implementing the new appraisal system more effectively. Some recommendations for doing so follow.

Opportunities for interaction and communication should be encouraged. Employees indicated that more "walk-around" management would be appreciated. The professional staff should be aware of the skills they have developed and not use these skills in ways which intimidate those agency employees who do not have the same skills. Emphasis should be placed on valuing each person for the contribution they make to the overall product of the organization.

Employees should be encouraged to have input into the decision making processes. Some employees felt that they could not take the risk of saying what they really felt. Most felt they would "pay the price" if they really said what they wanted to. A secure and open atmosphere would raise employee morale.

Additionally, allowing employees input in determining rewards would help management increase morale at a time when monetary rewards are limited. In many cases, the reward that would motivate the employee most is one that is available for very little cost. Frequently the only cost is for the manager to look at things in a different way.

Training for all employees to develop their particular skills would raise the esteem of employees. Many aspire to more satisfying jobs, but are afraid to voice those aspirations. Some help in seeing what possibilities are available would encourage employees to work at developing their potential.

Top management would do well to decide on the relative importance of managing people and producing work. Top management should be aware of the time requirements for activities in the performance development process and schedule time for those management activities. When relative value is established, top management should consider evaluating managers accordingly. Unless management indicates that a value is placed on management activities, managers will find it difficult to spend the time in these efforts. If, in fact, there was a commitment by top management to developing people to their potential, the managers who spend time in employee development should be rewarded for those efforts.

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APPENDIXES

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APPENDIX A

INTERVIEW QUESTIONS

1. Did you feel your Performance Development Plan session went well? Why? Why not?

2. Did you feel you had adequately prepared your PDP?

3. Did your manager have an accurate picture of your job?

4. Did the communication training enable you to communicate better with your manager?

5. Can you suggest future training which would help the PDP process?

6. Do you feel PDP will improve your working relationship with your manager?

7. Do you feel PDP will enable your manager to evaluate you more accurately.

8. What was the most effective part of the training process? What was least effective?

9. What is the best result of the PDP process?

10. What is the biggest problem you see with the PDP process?

11. Did you feel that there was an equal sharing of information/ talking during the PDP interview? Explain.

12. Did you feel that your PDP was truly negotiated--or did something else occur?

13. Would you recommend this particular Performance Development Plan for another organization?

APPENDIX B

RESPONSES TO QUESTION 1

1. <u>Did you feel your Performance Development Plan session went well?</u>

<u>Explain</u>.

Yes 16   No 3

He set a comfortable climate.

My supervisor is open and in support of PDP and he is a commmunicator.

We communicate well.

We covered all items.

We knew what had to be done--the mechanics went well.

I felt that Bill was intimidating and created uncomfortable

   atmosphere.

I didn't write my own. I feel I was told how it should be. I feel

   deadlines set to rate us low.

We communicate well.

Fine--familiar with job, easy to understand and respond.

He is not open. He feels his way is the only way.

Stuck to the point of the session.

Well, but no one really knows what PDP is.

All had same information.

Met my expectations.

APPENDIX C

RESPONSES TO QUESTION 2

2. <u>Did you feel you had adequately prepared your PDP?</u>

Yes 16   No 3

Not really prepared because no one agrees what PDP should be.

Appreciated Bill being in session.

Needed better understanding of what was expected.

Felt on spot and worried because of lack of writing experience

APPENDIX D

RESPONSES TO QUESTION 3

3. <u>Did your manager have a accurate picture of your job?</u>

Yes 13   No 6

He doesn't understand that I can't always create on a time schedule.

No concept of how much time projects take; concerned with big

    picture doesn't realize time details take to be complete

Doesn't realize amount of work I'm required to do nor how much

    time those projects take

He know more than I thought he did, but I got a chance to give him

    additional information.

Too much stress on quantity not quality.

APPENDIX E

RESPONSES TO QUESTION 4

4. <u>Did the communication training enable you to communicate better with</u>

<u>your manager?</u>

Yes 8   No 8   Maybe 3

We already communicated well.

-Very much so.

Reinforced with boss the need for communication

Bill's training was worthless.

Already communicated well

I had already had the material. This particular training didn't help.

I believe in winning through intimidation, not communication.

Helped me be more direct

We had never had a problem; training didn't change anything.

I had had this type material previously.

I'm better equipped to communicate.

I've had this material before.

Didn't hurt--may have helped.

APPENDIX F

RESPONSES TO QUESTION 5

5. <u>Can you suggest future training which would help the PDP process?</u>

None 11

Excellent Manager course I'm in now will help.

I still need more specifics of how to do it.

Not future, but I think smaller groups would have been more effective in

    writing sessions.

Individual coaching was most helpful.

More specifics for specific people.

Training should include managers and employees in same session.

Hiring practices might focus on personalities.

Should repeat some of the training.

APPENDIX G

RESPONSES TO QUESTION 6

6. <u>Do you feel PDP will improve your working relationship with your</u>

<u>manager?</u>

Yes 10   No 6   Maybe 3

Not really, but it might help him understand my job and my

    frustrations.

More open and honest

Open for more frequent contact

May force contact

Possibly could--probably won't

We are more focused in communication

Already good

No--good one already

May force communication

Good one already

Help focus on job

APPENDIX H

RESPONSES TO QUESTION 7

7. <u>Do you feel PDP will enable your manager to evaluate you more</u>

<u>accurately?</u>

Yes 13   No 3   Maybe 3

No, already doing a good job

Less fair than old way

We are being set up for failure

APPENDIX I

RESPONSES TO QUESTION 8

8a. <u>What was the most effective part of the training process?</u>

Group process--forcing people to communicate

Communication

How to write objectives/liked--benefited from all

Case study process

None

Bill's communication training was really good

Session on performance standards

Actual PDP session with Bill

Getting to know other people

Bradley's communication training

Bill's actual session with manager and employee

Teddy's session on performance standards

Mechanics of writing

Bill's listening skills

Bill's communication training

8b. <u>What was the least effective?</u>

Trainers didn't always see our perspective--Darlene was more objective

    and clearer

None 3

Too much time on mechanics

Training should be geared for audience and more personalized

Mechanics sessions too big

Too much time on training--Jerry shouldn't have been in our

    communication session

Teddy's sessions in bad location--too many people

People using sessions as gripe sessions

Mechanical process

Mechanical process too long

Bill's communication had good information, but I didn't like his

style or personality

Teddy's sessions

APPENDIX J

RESPONSES TO QUESTION 9

9. <u>What is the best result of the PDP process?</u>

Feedback/ the on-going process

Individual planning tool

Forced communications

Let manager know what we do

People writing down what they do

Making manager aware of frustrations/too soon to really know

Understand what job expected by both people

Helped me evaluate my job and realize how much time things really take

Know my job/manager will communicate expectations

General optimism

If any, caused communication

Managers have become more aware of importance of management skills

Goal setting for individuals

Formally meet on regular basis--living document

More fair gives employees a voice

Forced communication

Better define responsibilities

Force managers to address employee development

Common meeting round focusing on specific tasks and standards

Getting in writing actual responsibilities

Managers are concerned

APPENDIX K

RESPONSES TO QUESTION 10

10. <u>What is the biggest problem you see with the PDP process?</u>

No real problem

None 2

Time and paper work required

Time 3

Time away from job

Implementation

How it will be used--money tied to review

Graded on team concept

Keeping it positive

Size of PDP form itself

Frustration because I know what could happen, but I don't think it

    will

Needs more emphasis on the future

Will it be used as it is designed to be used

Time consuming/could be good investment of time

Letting it become routine

APPENDIX L

RESPONSES TO QUESTION 11

11. <u>Did you feel there was an equal sharing of information/talking</u>

<u>during the PDP interview?</u>

Yes 14   No 5

Communication has always been easy

Always communicated

My manager was intimidated by Bill's presence

Maybe some change has occurred outside the PDP sessions, but I felt he

    completely rewrote my job

Was dominated by manager

APPENDIX M

RESPONSES TO QUESTION 12

12. <u>Did you feel you PDP was truly negotiated? Or did something else</u>

<u>occur?</u>

Yes 9   No 10

Did what he wanted

But I basically adopted his plan

He felt strongly and I agreed, but at least I know what he wants.

I saw a point of view I hadn't seen before.

Some priorities can't be changed

We already agreed

No negotiations at all

Nothing to negotiate/ very close at start

We did it his way.

We already agreed

·Very easy to discuss alternatives

APPENDIX N

RESPONSES TO QUESTION 13

13. <u>Would you recommend this particular Performance Development Plan</u>

<u>for another organization</u>?

Yes 15   No 2   Maybe 2

Haven't seen return on dollar--lost work time

Should go back to old way

APPENDIX O

ORGANIZATIONAL CHART

INCOG
STAFF
ORGANIZATION
CHART

JULY, 1984

OFFICE OF THE DIRECTOR

FINANCE
PUBLIC INFORMATION
PUBLIC PARTICIPATION
MAPPING & GRAPHICS

PLANNING

TRANSPORTATION
WATER
SEWER
LAND USE
HOUSING
OPEN SPACE
RESEARCH
DATA MANAGEMENT

LAND DEVELOPMENT SERVICES

ZONING
SUBDIVISION
BOARD OF ADJUSTMENT
LOT SPLITS
RECORD SEARCHES

MEMBERSHIP SERVICES

GRANT APPLICATIONS
GRANT ADMINISTRATION
ENGINEERING SERVICES
MANAGEMENT TRAINING
CRIMINAL JUSTICE
MANAGEMENT ASSISTANCE
COMMUNITY PLANNING

APPENDIX P

INTERNSHIP LOG

INTERNSHIP OAED 6880

Spring 1986

Darlene Tegeler

This internship was with the Indian Nations Council of
Governments. INCOG is a service agency whose clients are
governmental units in Tulsa, Creek and Osage counties
primarily. INCOG has a staff of approximately 70 persons and
is located at 217 W. 7th in Tulsa, Oklahoma. Jerry Lasker is
the Director of INCOG. Nancy Taylor is the Manager of
Training and Human Resources. Nancy Taylor was the direct
supervisor of the internship.

The agency was in the process of implementing a new
performance appraisal system which was called a Performance
Development Plan. The intern served as a member of the
training staff to facilitate the implementation of the new
plan. Additionally the intern served in all capacities that
might be appropriate for a member of the training staff.

The internship was served during October, November and
December of 1985. Some interviews were held in January. The
internship consisted of approximately 275 hours.

October 10, 1985   8:30-5:00

The day was spent familiarizing myself with material about INCOG. I learned about the agency and how the staffing patterns were in place. Also I learned about the process that had been used to arrive at the implementation of the new Performance Development Plan.

The INCOG agency is a small one and one that seems to have some employees with frustrations over merger of TMAPC and INCOG and about some staff realignments. These frustrations seem to be the ones that led to the feeling that possibly employees were not being judged on their job performance but maybe on their personal qualities.

October 11, 1985   8:00-4:30

Teddy Palmer conducted a morning and an afternoon session for different groups of employees from INCOG about how to begin to implement their own individual Performance Development Plans. They were to decide what their Key Result areas were and what their work objectives were to be in their jobs. The morning group consisted primarily of secretarial and support staff. They were having some trouble developing their work objectives, but did seem willing to give the new evaluation system a try.

In contrast the afternoon group which consisted primarily of professional staff could much more quickly see how to write key result areas and work objectives but were unwilling to think that this new evaluation system would be any better than those of the past.

It seemed that the support group were pleased to have some input in the process and glad to help educate their supervisors as to what they really did in their jobs. The professional staff were much less pleased to spend time defining their job responsibilities. It seemed as if they felt that as a professional they should judge their own work and felt that the new system was just a rerun of another one that they felt had resulted in some unfair evaluations in the past.

These groups were very different. I felt accepted by both groups.

October 14, 1985   8:30-5:00

Today I worked to develop information for employees on writing key result areas and work objectives. Also I sent out a letter of confirmation for a workshop to be held next week.

I am feeling a little unsure about what will be needed to

write a handbook for the Performance Development Plan.

October 15, 1985   8:00-5:00

Nancy did training today for INCOG members for General
Management skills. The workshop focused on personal
leadership styles and how those styles impact how people are
managed. Also some time was devoted to addressing time
management. Many of these people are those who have advanced
because of their technical expertise and have had little
management training. They were extremely pleased to learn
ways to enhance their management skills, but were surprised
to discover that many of these skills were based on self-
assessment of who they were and what was important to them as
people.

This was a fascinating process to see people who were
unfamiliar with this type self-analysis see how well the test
had identified personal characteristics and how that would
affect their personal management style.

October 16, 1985   8:30-5:00

Wednesday morning was the workshop for managers to learn how
to implement their own Performance Development Plan (PDP) and
to judge the plans of those people they supervise.

Wednesday afternoon I conducted a make-up session for
employees who had missed the original sessions.

I felt very confident working with these employees and they
responded to me in the learning process.

October 17, 1985   8:30-5:00

I forgot to make notes about what I did this day.

October 18, 1985   8:30--5:00

I reviewed individual PDP plans and identified specific
projects and general projects that were on their work
objectives list. These were to be used by management to help
prioritize projects and see if the employees were not aware
of projects that the agency needs to be addressing.

I spent most of the afternoon reviewing literature with
regard to time management. At this time I felt that I would
implement a course for staff.

It was interesting to see what kinds of projects are done by
INCOG employees.
October 21, 1985   8:30-5:00

The morning was spent reviewing and reading William Oncken,

Jr.'s book <u>Managing Management's Time</u>. He has some very
interesting insights about how a manager's time is spent. He
says managers often spend their time doing things instead of
managing people.

I really like this book.

In the afternoon, I had an appointment with Gordon Spencer, a
counselor to discuss methods of stress management. He
conducts classes in stress management and gave me several
books relating to stress.

<u>October 22, 1985</u>   8:00-5:00

Two sessions were conducted by Teddy Palmer to help employees
write performance standards as a part of the implementation
of the Performance Development Plan. These groups both had a
hard time finding ways to measure their performance.

It seems to me that people are very reluctant to set
standards for evaluating their performance.

<u>October 23, 1985</u>   8:00-5:00

A session was held by Teddy Palmer for managers to learn how
to write their own performance standards and to help
determine standards for performance of their employees. As
an outgrowth of this meeting, I developed a guideline for
writing and judging quality reports and plans.

I felt that management was having a very difficult time
determining how to judge a good performance. They seems to
know what wasn't good but not exactly why.

In the afternoon, I had an appointment with Eleanor Hill of
Resonance to talk further about stress management. Eleanor
helped me identify areas of stress in people's lives. She
gave me several books related to stress management.

Eleanor is a most helpful person. I felt like she would be
an excellent facilitator for stress management classes.

<u>October 24, 1985</u>   8:00-5:00

I made phone confirmations related to the Effective Writing
class that is scheduled for next week. I evaluated the
training class that had been held regarding Management
Skills. Also I did a rough draft on guidelines for quality
reports to be circulated to managers for their input.

I think these guidelines will be helpful when managers and
employees when judging the quality of reports.

In the afternoon I attended an open house at Countryview's

new outpatient facility. I attended a session on biofeedback and its use in stress management. Countryview also serves as a referral facility for employee assistance programs.

I feel that knowing about facilities in the community for referral for employees who have problems that need professional help will be valuable for me. Additionally the information about one technique for stress management was interesting.

October 25, 1985   8:30-5:00

I spent the day reading material on stress management.

I didn't feel very productive today, but I know that this is part of the process and is valuable.

October 28, 1985   8:30-5:00

I further refined the guidelines of judging quality reports and recirculated the list to managers. I spent the rest of the day reading about time management, stress management and performance appraisal systems.

The guidelines seem to be ones that all managers can agree to.

October 29, 1985   8:30-5:00

I forgot to make notes again.

October 30, 1985   8:00-5:00

Nancy and I attended the Management Conference of the City of Tulsa at the request of Teddy Palmer. The meeting was facilitated by Bill Bradley, a consultant from California. Bill asked the group to look at the climate of their organization. This organizational climate has a great impact on the satisfaction and productivity of employees. By their management practices, managers are responsible for 70 percent of the total organizational climate.

Preston Whitson, Director of Personnel for the City of Tulsa, spoke directly addressing issues that are concerns of Tulsa specifically. The groups broke into smaller groups to identify topics of concern within their own areas. The conference was to continue in the afternoon addressing those topics from the earlier list.

Wednesday afternoon, I attended a meeting with the director of INCOG and the deputy directors to discuss standards which will impact work objectives and performance standards which are acceptable to supervisors. Yhe agency as whole, and top management in particular, would need to agree on what the

agency should value and those qualities should be made clear to supervisors and managers before work objectives and performance standards are set and negotiated.

I think it is important that managers articulate what is important to them and the agency. It is even more important that those values be communicated to the employees.

October 31, 1985   8:30-5:00

I spent most of the day counseling with individual employees about writing performance standards. I researched and began developing the employee handbook. I finalized the guidelines for quality reports.

I am somewhat surprised that employees seem as free to share their problems and concerns with me. I think my outside view point is helpful.

November 1, 1985   8:00-5:00

Bill Bradley conducted two sessions with employees at the Garden Center. These sessions were designed to understand the communication process and how to use these new communication techniques in negotiating their Performance Development Plan.

Nancy did not attend these sessions and I facilitated the sessions. Both sessions, but most particularly the afternoon session, identified some of the organizational problems that are causing resistance to the implementation of a new plan.

November 4, 1985   8:30-5:00

Nancy and I met with the director and deputy directors to further discuss the team aspect of the agency and to agree on expectations for agency employees.

I spent the rest of the day with individual counseling and developing the employee handbook.

It is fun and rewarding to work with the individuals.

November 5, 1985   8:30-5:00

In the morning I attended the Effective Writing seminar that Lee Johns was conducting for INCOG members.

In the afternoon I continued to develop the handbook for employees.

November 6, 1985   8:00-5:00   7:00-9:00

In the morning I worked on the handbook. During the

afternoon, Nancy and I worked with Teddy Palmer to process
the numbers for ratings of the persons who were to begin the
Excellent Manager training seminar that is scheduled for next
Monday. This is a management certificate program that the
City is providing for their employees. Four people from the
management staff at INCOG will be participating. Four other
managers began the program during the last series. I had
worked out the process for figuring the ratings when I had
done the independent study with Teddy Palmer last winter.
Nancy had agreed to spend time helping with this in exchange
for the opportunity for INCOG employees to participate. This
is a long and tedious process and one that should be
computerized.

November 7, 1985   8:30-5:00

Today I facilitated the meeting that Bill Bradley held with
the Membership Services division concerning the communication
process for implementing the Performance Development Plan.
The afternoon was scheduled for persons in the agency who
were concerned about development of teams to discuss those
team building issues with Bill Bradley.

Not many people took advantage of the opportunity for team
building skills. Because the team approach seems to be a
problem for a large number of the agency employees, there
should have been a large group. The agency director and the
deputy director and two others attended this session. Maybe
the employees would rather see it fail than find out ways to
make it successful.

November 8, 1985   8:00-5:00

Today was an all day session with Bill Bradley and the
management team regarding the communication process. The
session included all the information that had been given to
employees and additionally included some exercises designed
to help management address some of the problems and concerns
that may develop as a result of the implementation of the new
program for appraisal.

This was an interesting session. It is obvious that personal
management style will greatly affect the ability of managers
to implement the new system. It will be very difficult for
those who are very structured and traditional in their
approach to management. Participation by employees in
developing the job description and judging performance is a
really new concept for many.

November 12, 1985   8:00-12:00

Bill Bradley had coaching sessions scheduled with three

managers today. These were actual Performance Development Plan sessions with their actual employees. I spent my day writing the handbook and working with individuals who were writing their own plans.

I like working with individuals. It gives me a chance to use the counseling skills I have developed over the years.

November 13, 1985 . 8:00-5:00

I continued to work on the handbook and work with individuals who are preparing their own PDP. I helped Nancy set up the film showcase for the ASTD Consultant Showcase and provided coordination of the registration function of the showcase.

November 14, 1985 8:30-5:00

Today was more individual counseling. Also I began typing the rough draft of the PDP handbook.

I like the counseling. I feel better about beginning to actually type and get something I can see.

November 15, 1985 8:30-5:00

I sent out the announcement for the Oral Presentations class scheduled in December. I typed the evaluations for the Effective Letter Writing class. I continued to work on the rough draft of the handbook.
At INCOG Nancy does not have a secretary. Therefore she is responsible for most of her clerical work. There is someone she can use with major projects, but most small clerical items are handled by Nancy. I helped with that function while I was at the agency.

November 18, 1985 8:30-5:00

Nancy and I edited the PDP handbook and I began to make the necessary revisions. Also I worked with individuals to prepare their Performance Development Plans.

November 19, 1985 8:30-5:00

I typed the final draft of the handbook and had copies made. I did some reading about appraisal systems in the public sector.

I was surprised that there seems to a very different perception of how appraisals are carried out in the public sector.

November 20, 1985 8:30-5:00

This morning I interviewed Jerry and Steve regarding their

evaluation of the PDP process with their employees. Wednesday afternoon I attended a workshop at the city conducted by Dr. Becky Emery, Arthur Young & Associates, for the professional secretary. It focused on communication styles that the managers at INCOG had been or will be exposed to during their management training. It seemed appropriate for the secretarial staff to understand the same terminology as their managers. None of the INCOG staff were there for the afternoon session, but several had attended the morning session.

The interviews were fascinating. It is interesting to see the different perceptions of different managers.

I have really enjoyed attending the seminars that I have been able to attend while I have been at INCOG. The different styles of facilitation are interesting. Also the information is something that will be valuable to me in the future.

November 21, 1985   8:30-5:00

I interviewed Jay, Tom, Irving, and B. E. regarding their perceptions of the PDP process. It was very interesting to see the various reactions about how successful the process would prove. Also several of the other clerical staff who had not been able to attend the professional secretary seminar took the test and we discussed communication styles during the afternoon. The staff who had gone to the seminar shared what they had learned with the other employees.

November 22, 1985   8:30-5:00

The staff had a party for me because it is my last official day. It was really nice. I was pleased. Interestingly the party was planned by the group that seems to have been most frustrated and alienated in the organization. It was the only social event that was held in that part of the office while I was there. I think it may have been a step in building some positive feelings.

Then I interviewed Rich Brierre, one of the deputy directors, about his perceptions of the PDP process with his employees. Rich asked me about my perceptions of the office and my recommendations for possible solutions. It was very flattering to be asked for my recommendations. I think I had some valuable information for him.

I also interviewed Ricky about his PDP sessions.

November 26, 1985   8:00-12:00

I interviewed Bob Gardner, deputy director, about his experiences with the PDP process. I also worked with individuals preparing their own plans.

Bob seems extremely positive about the process, but I have a
feeling that he is not as open with the employees as he says
he is.

December 9, 1985   9:00-12:00

I pre-tested my employee questions with a couple of people at
INCOG and asked Jerry, the director, if there were other
questions that would gather information that he would like to
have. He added a couple of questions and I set Wednesday,
December 18 to begin employee interviews.

The interviews are designed to explore how employees perceive
the PDP process.   I will be interviewing approximately 50%
of the employees at the agency.

December 16, 1985   9:00-12:00

I interviewed employees about their perceptions of the PDP
process.

People certainly view the same process in different ways.

December 18, 1985   9:00-11:00

I interviewed employees about their perceptions of the PDP
process.

December 19, 1985   1:00-4:00

I interviewed employees about their perceptions of the PDP
process.

December 29, 1985   9:00-12:00

I interviewed employees about their perceptions of the PDP
process.

January 7, 1985   1:00-4:00

I interviewed employees about their perceptions of the PDP
process.

January 9, 1985   1:00-4:00

I interviewed employees about their perceptions of the PDP
process.

January 14, 1985   1:00-4:00

I interviewed Irving Frank about his PDP plan and about his
perceptions of the process.

I went to Jenks to interview the community planner who is a part of the INCOG staff, but who works in Jenks to interview her about her perceptions of the PDP process.

It was fun to see the other setting that community planners work in. They are unique in that they are actually hired and partially paid through INCOG, but in fact, work in the city that they are assigned to. Their evaluations are done by the manager of membership services with input from their city supervisors. Their work objectives and performance standards are developed through INCOG.

January 15, 1985   11:00-1:00

I met with Gene Adams, a community planner based at INCOG but working 95% of his time with Collinsville and Skiatook, to develop his PDP. He was away on vacation when the original training sessions took place.

I was able to help Gene articulate what his job responsibilities are. He has been with the agency over 20 years and was having a hard time with the process of detailing his work responsibilities and even harder determining how they can be evaluated. Because of his reluctance, I outlined what we had talked about in order to clear through his manager that I had sent him in the right direction. I did not want to have him present a list that would be rejected and cause frustration with the process.

January 16, 1985   1:00-4:00

I met with Gene's manager to go over the recommendations that I had made. After the manager had said that this was close to his expectations, I gave the list to Gene to use in developing his exact description.

I interviewed employees about their perceptions of the PDP process.

January 17, 1986   9:00-4:00

I attended a workshop that Jim Cremin did for INCOG members on Stress Management. Jim is an excellent facilitator and gave me a lot of insights both on the personal stress management area and how to conduct an workshop in stress management.

During the lunch hour I interviewed one more employee who is based in a local city on his perceptions of the PDP process.

APPENDIX Q

PERFORMANCE DEVELOPMENT PLAN FORM

incog

PERFORMANCE DEVELOPMENT PLAN

EMPLOYEE NAME	DIVISION		SUPERVISOR	
EMPLOYMENT DATE	POSITION CLASSIFICATION AND TITLE		PLANNING DATE	REVIEW DATE

The purpose of Performance Development Planning is to improve performance by promoting mutual understanding and agreement between employees and supervisors as to the employee's key result areas and work objectives for the upcoming evaluation period as well as measurement criteria to be used in measuring performance against those objectives. The steps in the process are as follow:

1. At the start of employment or beginning of a performance evaluation period, the manager and employee meet to discuss and record key result areas, objectives and performance standards and agree on career/developmental activities. The employee and manager should each keep a copy of the form.
2. Subsequent meetings of the employee and manager should be held at least quarterly during the review period, to review the employee's performance and to discuss any changes in objectives and projects.
3. At the conclusion of the performance evaluation period, the manager and employee meet to discuss evaluation of the employee's performance in accordance with established standards. If appropriate, a pay administration decision is made.
4. The completed form is submitted to the director with accompanying support information.
5. A new Performance Development Plan is completed which establishes key result areas, objectives, standards, and developmental activities for the upcoming planning period.

PART I - KEY RESULT AREAS AND PERCENTAGE OF TIME ALLOCATED PER AREA

WORK OBJECTIVES	PERFORMANCE STANDARDS	COMMENTS
1.		
		PERFORMANCE RATING ☐ EXCEEDS ☐ MEETS ☐ BELOW
2.		
		PERFORMANCE RATING ☐ EXCEEDS ☐ MEETS ☐ BELOW

UNANTICIPATED OCCURENCES/OUTCOMES

_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____

PART II - MANAGEMENT WORK BEHAVIOR

Record the degree to which employee's on the job behavior meets, exceeds or falls below the level expected by the supervisor.

BEHAVIOR	PERFORMANCE RATING			RATING COMMENT/PERFORMANCE IMPROVEMENT SUGGESTION
	EXCEEDS	MEETS	BELOW	
A. Work Assignments (Planning, organizing, meeting deadlines)				
B. Supervision (Delegating, motivating, reviewing performance)				
C. Team Participation (Leadership, cooperation, coordination)				
D. Communication (Written, verbal, formal presentations)				
E. Personal Traits (Initiative, dependability, cooperation)				
F. Attendance and Punctuality				
G. General Attitude (Positive, flexible)				

SPECIAL FACTORS AGREED UPON DURING PLANNING SESSION

_____
_____
_____
_____
_____
_____
_____
_____

PART III - CAREER GROWTH AND DEVELOPMENTAL OBJECTIVES

OBJECTIVES

_____
_____
_____
_____

PERFORMANCE RATING
☐ EXCEEDS
☐ MEETS
☐ BELOW

PART I (cont.) -

WORK OBJECTIVES	PERFORMANCE STANDARDS	COMMENTS
3.		
		PERFORMANCE RATING ☐ EXCEEDS ☐ MEETS ☐ BELOW
4.		
		PERFORMANCE RATING ☐ EXCEEDS ☐ MEETS ☐ BELOW
5.		
		PERFORMANCE RATING ☐ EXCEEDS ☐ MEETS ☐ BELOW
6.		
		PERFORMANCE RATING ☐ EXCEEDS ☐ MEETS ☐ BELOW
7.		
		PERFORMANCE RATING ☐ EXCEEDS ☐ MEETS ☐ BELOW
8.		
		PERFORMANCE RATING ☐ EXCEEDS ☐ MEETS ☐ BELOW

PART IV - FINAL RATING

Based upon the performance ratings, read the criteria below and check the level which best describes the employee's overall performance for the evaluation period.

☐ UNSATISFACTORY - Performance grounds for termination pending a review of corrective actions previously prescribed.
☐ IMPROVEMENT EXPECTED - Performance falls short of standards expected.
☐ COMPETENT - Performance generally meets standards.
☐ HIGHLY SUCCESSFUL - Performance generally exceeds standards.
☐ OUTSTANDING - Performance exceeds standards in almost every area.
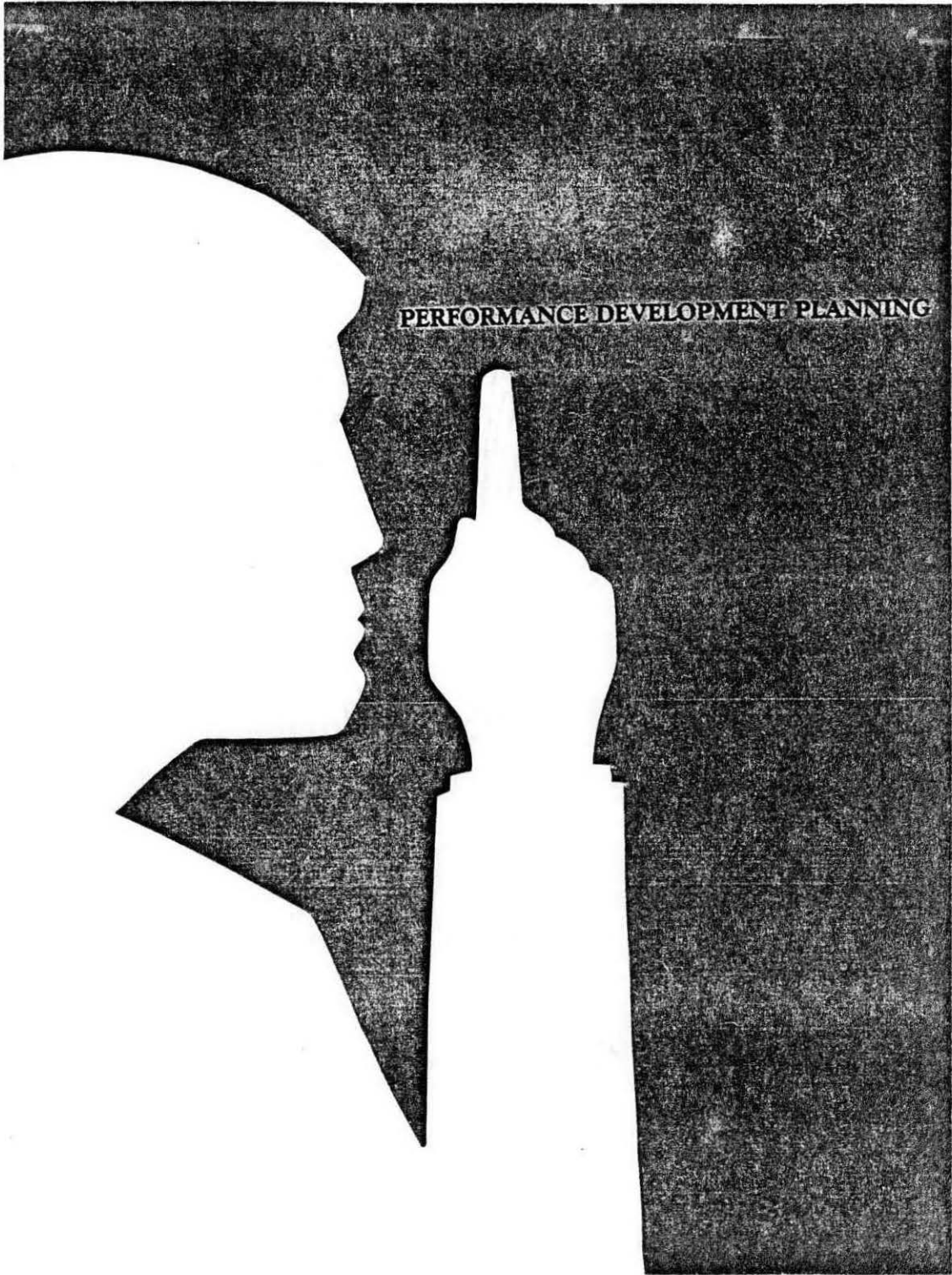
FINAL RATING COMMENTS

EMPLOYEE

SUPERVISOR

QUARTERLY SIGN - OFF

QUARTER	DATE	SUPERVISOR	EMPLOYEE	MONITORING SUPERVISOR
1				
2				
3				
4				

DIRECTOR'S NOTES:

APPENDIX R

PERFORMANCE DEVELOPMENT PLAN HANDBOOK

PERFORMANCE DEVELOPMENT PLANNING

INCOG

EMPLOYEE'S PERFORMANCE DEVELOPMENT PLAN HANDBOOK

This is your handbook for the Performance Development Plan. The plan is
a comprehensive, career-oriented, coordinated approach to ensuring that
employees are being given every opportunity to develop their job knowledge,
skills and abilities in the most positive and productive manner. It is
concerned with the employee's immediate performance potential through the
review process.

The plan has been established to enable INCOG employees to develop their
on-the-job skills. The plan focuses on what behaviors are expected from
the employee to achieve an excellent performance on the job. The process
provides the employee with the tools needed to conduct a continuous self
review and to make plans for improvement in a deliberate manner. The
employee is assisted in the development by his or her supervisor. Every
supervisor is responsible for technical and administrative expertise in
their area of supervision. Additionally, each supervisor is expected
to develop each of his/her employees to his/her maximum potential. INCOG
expects both the employee and the supervisor to play major roles in
working to improve on-the-job performance at all levels. The program is
a reflection of INCOG's commitment to assist all employees to achieve
their "personal best."

What is a Performance Development Plan?

Performance Development Plan is INCOG's name for a method of planning, monitoring and evaluating an employee's performance. The Performance Development Plan is not just a performance appraisal system, though performance appraisal is a part of the process. Rather, it is a complete personnel planning and review system. The performance development planning effort involves you and your supervisor working together prior to, during and following the actual performance appraisal.

Why have a Performance Development Plan?

The Plan is designed to:

    provide timely and periodic feedback about performance;

    let employees know what is expected of them in their job;

    let employees know how well they are doing their job;

    let employees know what changes may be expected during the
    next year;

    educate supervisors about day-to-day activities a particular
    job requires;

    open communications channels between supervisors and employees; and

    inspire and challenge employees to grow in their jobs.

How do you write a Performance Development Plan?

There are several phrases that will need some explanation as you begin to actually develop your own plan.

Part I

KEY RESULT AREAS

Key result areas are those broad categories which explain what you do in your job. They would identify all major areas within which the employee would be expected to invest time, energy, talent and other resources. They will not represent all activities, but rather areas where results should occur.

Probably you will find your job encompasses eight to ten key result areas.
You should judge approximately what percent of your time is spent in each
area. The following chart will help you determine what percent of your
time is spent on each key result area.

- 0-5% of the time or 0-2 hours per week
  6-15% of the time or 2½-6 hours per week
  16-25% of the time or 6½-10 hours per week
  26+ of the time or 10½ hours per week

A possible breakdown might look like this.

25%--community planning
25%--special projects
15%--public relations
15%--technical advice
10%--employee development
 5%--employee communications
 5%--self development
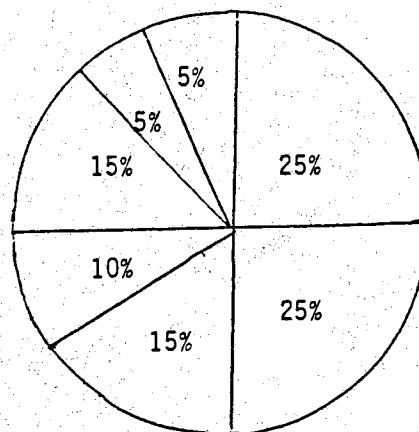
WORK OBJECTIVES

Work objectives are the specifics of what you do in your job, or what
result you wish to achieve in a given period of time. Work objectives
are not how you do your job, why you do your job, when you do your job,
how often you do it, or how well it is done. Examples of work objectives
are the Fire Study Plan, the minutes of the Planning Commission, advising
the public about zoning regulations, coaching employees, attending a
class, etc.

PERFORMANCE STANDARDS

Performance standards are to be written in a way that focus energies on
measurable factors that have a high probability of reflecting satisfactory
performance.

Performance standards should look at 4 areas for consideration in judging
performance. You may want to ask yourself the following questions about
performance standards.

1. How much work should be produced? (quantity)

2. What is the quality of work that should be achieved? (work accuracy, courtesy to clients, creative solutions to problems, adherence to standards of quality reports, etc.)

3. Is there a significant sign (visible, verbal or other) of excellence about the performance? How will I know a good one if I see it? If a good one cannot be identified, can non-performance or poor performance be recognized? How?

4. Are deadlines necessary to accomplish your job in a satisfactory manner? How long should the project take to perform? How important is time in completion of this objective?

Not all of these standards will apply to each work objective, but these should begin to point to an objective method of judging performance. Performance standards should be measurable and observable whenever possible. (i.e., number of products, accuracy of products, number of complaints, observed courtesy to clients, etc.)

This is the time to be realistic about what you can accomplish and not to set a standard that is impossible to exceed. Everyone wants to do a good job, but no one is perfect all the time. You and your supervisor will ultimately have to agree to what degree performance standards must be met to meet requirements for a good job and what will exceed those standards.

UNANTICIPATED OCCURRENCES/OUTCOMES

Employees should use this section to record those projects and unexpected work assignments that happen during the rating period. Self-initiated projects and additional responsibilities should be recorded here. When something didn't work out the way it was planned, record it here with notes about what caused the problem. Also events occur outside the agency which may effect your ability to do the job as planned. Those events may keep you from completing your original work objectives or possibly effect the performance standard originally agreed on. These events should be recorded here. A few notes in this section will help document your successes and problems when the final rating time comes.

Part II

WORK BEHAVIORS

Work behaviors influence job performance. The purpose for looking at work behaviors is to evaluate whether work behaviors are causing an employee to succeed or not on the job. The collective work behaviors of employees at INCOG will produce an image of INCOG to the public. This image has a significant impact on the agency's ability to be effective. Also the working climate at INCOG is determined by individual work behaviors.

Although trait-based evaluations are not appropriate for a total evaluation, work behaviors will have an impact on performance. Work behaviors should comprise less than 20% weight in the overall evaluation.

Work behaviors are evaluated by observation of supervisors and reports to supervisors from the public and co-workers. Although these are subjective in nature, they can be judged by supervisors with additional input from others.

Part III

CAREER GROWTH & DEVELOPMENT OBJECTIVES

This section provides a place to set career growth objectives. These can take two forms. One objective includes those activities which help the employee do the job now being done more effectively and/or efficiently. The second objective is a plan for activities which would lead to an advancement in the agency. Skills can be identified which allow employees to advance their career development.

A supervisor should use this area to advise an employee of new skills which may be required to perform his/her job satisfactorily in the future. A plan can be agreed on which will allow the employee to gain the new skills and behaviors desired.

New information and behaviors may come as a result of another employee's teaching a skill, outside workshops and seminars, in-house training, professional association conferences or educational institutions. The skills may be obtained in a self-directed learning project. Agreeing on the skill to be developed and planning a strategy for such development ensures growth for the employee.

How does a Performance Development Plan help during the year?

The Performance Development Plan provides for planning to be done either in June or January depending on the anniversary of employment. Quarterly reviews are scheduled for March, June, September and December. After the final rating, a new plan will be designed for the next year. During each review the Performance Development Plan agreements will be signed by the supervisor and the employee. The monitoring supervisor will also review and sign the Plan. The supervisor and the employee will each keep a copy of the Performance Development Plan and an additional copy will be held by Personnel in the employee's file.

The quarterly review system ensures that employees and supervisors

will look at work objectives and performance standards which have been
set. If circumstances have altered the expectations, changes should
be documented on the Performance Development Plan form. If an employee is
exceeding expectations, this is a time for positive reinforcement. If
employees are not meeting standards, plans should be formulated to correct
deficiencies as soon as possible.

Appraisal should be conducted as an ongoing process for employees and
supervisors to communicate about performance and expectations. To be
effective the Performance Development Plan appraisal must occur regularly
and openly. Both employee and supervisor are responsible for initiating
communication.

What happens to the Performance Development Plan at the end of the year?

At the end of the year, supervisor and employee will sit down and evaluate
the employee's performance based on the work objectives and the performance
standards that were established. The supervisor will give a rating and
provide comment on that rating. The employee has a place for comments
also. The monitoring supervisor will sign the Performance Development
Plan and the agency director will review the Performance Development Plan
and make comments when appropriate.

If an employee feels he/she cannot agree with the supervisor, he/she can
take the concerns to the next supervisory level.

As a part of the evaluation, new work objectives and performance standards
will be determined for the next year.

Tips for using the Performance Development Plan in the most effective way.

Remember the communication cycle requires mutual perceptions. (We agree
on what was said.) Better communication occurs when feedback is requested
and given.

Supervisor and employee must realize the job will never be seen in the
exact same way. But, every effort should be made to come as close as
possible to agreement on what tasks are necessary for meeting job
requirements.

Both parties are equally responsible for communication.

Focus on results.

Focus on the future, in other words, focus on what can be changed.

The Performance Development Plan form is only a tool to stimulate and
guide communications. Communication is the most important aspect of the
Performance Development Plan.

VITA

J. Darlene Grissom Tegeler

Candidate for the Degree of

Master of Science

Report: A STUDY OF EMPLOYEE PERCEPTIONS OF TRAINING AND IMPLEMENTATION OF PERFORMANCE DEVELOPMENT PLANS

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   Education: Graduated from Pawhuska High School, Pawhuska, Oklahoma in May, 1957; received Bachelor of Science Degree in Business from Oklahoma State University in May, 1961; completed requirements for the Master of Science degree at Oklahoma State University in July, 1986.