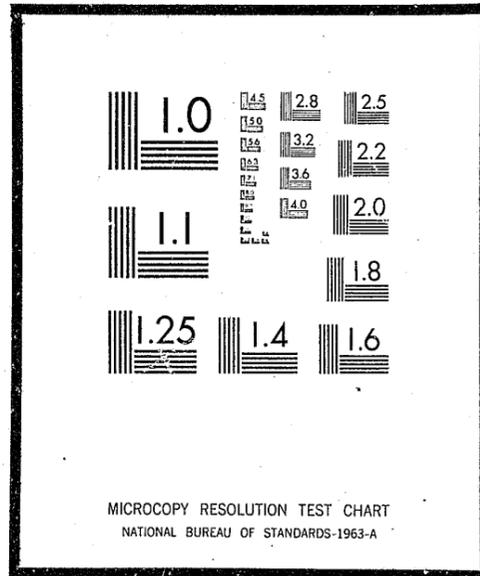


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Tom McCall
GOVERNOR

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IMPROVING AND EVALUATING
WORK PERFORMANCE

A REFERENCE HANDBOOK FOR MANAGERS AND SUPERVISORS

Written By
Jerry E. Batten

EXECUTIVE DEPARTMENT
PERSONNEL DIVISION

TRAINING AND STAFF
DEVELOPMENT UNIT



EXECUTIVE DEPARTMENT

PERSONNEL DIVISION

240 COTTAGE STREET S.E.

• • • • • SALEM, OREGON 97310

May 1, 1973

TOM McCALL
GOVERNOR

CLEIGHTON PENWELL
Director

TO: State Managers

FROM: Wm. G. Hughes

SUBJECT: Handbook for Improving and Evaluating Work Performance

Since the early days of the colonial army, managers have been searching for a better way to evaluate employes. This goal has been an elusive one as countless rating systems have been introduced, tried and discarded. No one method has been universally accepted for any great length of time.

Today, managers want an employe appraisal system that is objective, motivates employes, contributes to getting results on the job. . . and is defensible!

For these reasons the State of Oregon has converted to a new performance appraisal system. It suggests four steps:

Preliminary work planning

Establishing a commitment as to what is to be accomplished

Periodic work progress reviews

A formal evaluation of the results obtained compared with the original target goals

This new system utilizes the concept of "management by objectives." It integrates employe appraisals into everyday management of an organization. It incorporates the latest research findings on motivating employes. . . and incidentally, is patterned after similar appraisal systems now being used successfully in business and industry.

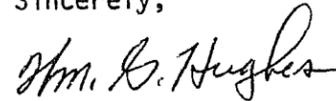
This handbook was prepared to guide state managers as they implement the new appraisal system. It contains step-by-step procedures for developing work plans, conducting progress reviews, recycling work schedules, and discussing performance with employes. It also suggests appropriate answers for frequently asked questions.

The appendix of this handbook contains a variety of sample work plans drawn from current experiences in several state agencies. These samples demonstrate that there is no one correct or perfect way to record work plans; rather, the work planning process can be written in a variety of formats depending upon the preference of the individual agency or manager. Supervisors should feel free to develop their own work plan formats to fit their own particular situation.

Although comprehensive in content, this handbook is not a replacement for the ongoing training in the agencies on the new system. We do feel however, that you will find the handbook a useful supplement to agency procedures. In addition, the staff of the Personnel Division are available for consultation on specific problem situations.

Employee appraisals are taking place continuously both formally and informally. Evaluation of employees is the direct responsibility of managers. Under the new system managers are charged with making objective appraisals that are focused on job performance which will contribute to the betterment of state service and the development of individual employe potential. We hope this handbook will help in doing that job.

Sincerely,



Wm. G. Hughes

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SECTION ONE

UNDERLYING ASSUMPTIONS OF THE WORK PLANNING AND PERFORMANCE APPRAISAL SYSTEM

Changing Patterns in Management

It has become increasingly evident to both management practitioners and behavioral scientists that managers cannot simply order or compel their employees to perform in a desired manner; e.g., report to work on time, be attentive to their duties, maintain good housekeeping habits, follow safety and health rules, produce high quantity and quality output, etc. In the past, perhaps, managers could utilize traditional, authoritarian means (threaten disciplinary action, demotion, wage reduction, job loss) in order to attain these ends. Today, however, the use of negative motivation rarely improves employee performance or increases production, especially over long periods of time.

The reason for this is fairly clear. Up until about 30 years ago people worked primarily to feed themselves and their families. Loss of work could mean severe hardship or even starvation. However, the success of American economics has made jobs more plentiful than in the past and thus generally changed the relative pressure of many employee's needs.

As a result, many employees are turning to their work organizations for fulfillment of higher-level needs. These include important personal needs for such things as achievement, recognition, respect, and self-fulfillment. Since basic needs can be filled on most any job in any organization, employees are more likely to work and work productively where they can satisfy some of their higher-level needs.

Managers who are able to meet these higher-level needs and thus increase the productivity and efficiency of their organizations have a different attitude toward their employees than do managers who predominately use negative motivational techniques. The differences in these attitudes and the corresponding managerial behavior have been well described in theory and supported in research studies.

Douglas McGregor (1) defined these differences very clearly in his writings. According to McGregor, the traditional manager believes that:

- Management is responsible for organizing the elements of production--money, materials, equipment, people--in the interest of economic ends.
- With respect to employees, this is a process of directing their efforts, controlling their actions, and modifying their behavior to fit the needs of organization.

(1) McGregor, Douglas, The Human Side of Enterprise, McGraw-Hill, New York, 1960.

- Without this active intervention by management, people would be passive--even resistant--to working toward organizational needs. They must therefore be persuaded, punished, controlled, and their activities directed. This is management's task in managing employes.

Behind this traditional theory of management there are several additional beliefs--less explicit, but widespread:

- The average employe is by nature lazy--he/she works as little as possible
- Employes lack ambition, dislike responsibility, and prefer to be led.
- Employes are inherently self-centered and indifferent to organizational needs.
- Employes are by nature resistant to change.

Contrast this attitude toward human behavior with the assumptions applied by the modern manager. This manager believes that:

- Management is responsible for organizing the elements of production--money, materials, equipment, people--in the interest of economic ends.
- Employes are not by nature passive or resistant to organizational needs. They may become so as a result of experience in organizations.
- The motivation, the potential for development, the capacity of assuming responsibility, the readiness to direct behavior toward organizational goals are all present in employes. Management does not put these things into people. It is the responsibility of management to make it possible for people to recognize and develop these human characteristics for themselves.
- The essential task of management is to arrange organizational conditions and methods of operation so that people can achieve their goals best by directing their own efforts toward the organization's objectives.

The traditional manager has an easy rationalization for ineffective organizational performance; it is due to the nature and shortcomings of the human resources with which we must work. The modern manager, on the other hand, generally sees problems of motivation and performance as a managerial responsibility. If employes are lazy, indifferent, unwilling to take responsibility, uncreative, uncooperative, the modern manager believes the causes lie in management's methods of organization, motivation, and control.

Many of McGregor's concepts have been supported through research by Rensis Likert(2) at the University of Michigan. Likert divided managers into two categories, low-producing and high-producing. Here is a summary of some of his findings:

- The common assumption that non-supervisory employes, given increased freedom, will loaf and fail to produce does not seem to be borne out by the evidence. The fact is, their behavior depends on conditions accompanying the freedom. Managers who achieve high performance in their work units set general goals and provide less specific direction than do the managers of low-producing units.
- High-producing managers encourage more employe participation and achieve higher employe involvement, greater interest in the work, and more responsibility for it than do low-producing managers.
- Low-producing managers, in keeping with traditional practice, feel that the way to motivate and direct behavior is to exercise control through power and authority. Jobs are minutely organized, methods are exactly prescribed, standards are rigidly set, and compliance is sought through the use of threats and other means of negative motivation.

In essence, to maintain high productivity and meet the interests and needs of the modern worker, jobs should be substantial, challenging, encourage growth and development, and allow for some self-expression and decision-making on the part of the individual worker. To accomplish this, managers will need to involve employes more in setting goals, planning work, and developing alternatives for getting results. This also means the manager will frequently need to give the employe feedback; let him/her know when things are done well, when there have been changes in agency goals or plans etc. so the employe can adjust to the changing conditions quickly. In-other-words, managers will want to give their employes "a bigger piece of the action" if they want to achieve increased performance. However, this does not mean that managers will be giving up their authority and allowing employes to do whatever they please. The modern manager sets goals and communicates the results expected, then holds the employe accountable for achieving those results. If the employe falls short, the manager takes whatever action is necessary to correct the problem.

Management by Objectives

The recent shift of overall state management philosophy to a system of management by objectives has had a strong influence on the development of Oregon's performance appraisal system.

(2) Likert, Rensis, New Patterns of Management, McGraw-Hill, 1961

The main thrust of management by objectives is to build into management systems an unremitting attention to purpose. Typically, the broad overall objectives of the agency are broken down into smaller, more manageable objectives with responsibility for carrying out these various objectives assigned to the various managers, department heads, and supervisors. In order for the numerous "departmental objectives" to successfully add up to the agency's overall objective, a great deal of communication and coordination are necessary.

With the early concepts of management by objectives no particular management style or theory was emphasized. It was assumed that management by objectives could be used as successfully by traditional managers as by modern types who encourage employee participation. Thus it was believed that goals could successfully be established solely by the manager i.e., "your sales quota for the next month, is 50 new policies", or they could be jointly developed between employee and manager working together as a team.

When management by objectives has failed in organizations it is usually because of the assumption that managers have all the necessary information to set objectives for their employees. In these situations the manager would rarely take time to communicate with employees about special conditions the employees might be facing or special resources they may need to carry out the objectives. Even more rarely would the manager ask the employees what they thought about the objectives or what other objectives might contribute to increased agency effectiveness.

To combat this failure George Odiorne⁽³⁾ developed the concept that management by objectives, to be effective, should be a total system of management rather than just another management tool. The main emphasis of Odiorne's approach is that agreement on objectives between the manager and employee is more important in getting an agency's objectives achieved than any other single ingredient in management practice. He proposes that all objectives, whether set from top down or bottom up in an organization, must be clearly understood and agreed upon by both manager and employee.

Probably the best way to assure that the objectives are clearly understood and agreed upon is to subject them to a process of negotiation between manager and employee. This negotiation process requires that the manager move away from the traditional style of management and move toward one of more involvement of the employee in a joint effort to solve problems, set objectives, and get more accomplished.

(3) Odiorne, George, Management by Objectives, Pittman Press, 1965.

Overview of Oregon's Work Planning and Performance Appraisal System

The fact that merit system law and state personnel rules require that state agencies appraise the performance of their employees does not guarantee the effectiveness of the appraisal process. However, modern managers realize performance appraisal can be a very powerful tool to improve the performance of employees.

In addition, performance appraisal can provide some of the information an agency needs to make decisions on such things as:

- Who should be placed on special job or work assignments
- Who needs special training
- Who does and does not get a pay raise
- Who should be disciplined or discharged
- Who will be laid off during a cutback in staff

Based on management by objectives and the concepts of employee involvement described by McGregor, Likert, and other authorities on modern management practices, the heart of Oregon's performance appraisal system is work planning. Work planning requires that the employee and manager sit down and develop together, in advance, what is to be accomplished and how they will both know when it has been accomplished.

One of the most important aspects of work planning is that it is a joint activity between employee and manager. It doesn't really matter whether it is the employee or the manager who initiates the work plan. What is important is that they reach an agreement and commitment on the work to be accomplished within a given time period. It is this commitment that serves to motivate them both to accomplish the agreed upon goals.

Work planning and periodic reviews of progress should be going on throughout the year. The manager then draws upon the results of this effort as well as results of the employee's day-to-day work to use as basic information in completing the annual appraisal report or merit rating.

This new performance appraisal system calls for a new reporting format for the employee's merit rating. Instead of a numerical scale, as has been used in the past, the manager concludes either that the employee:

- Makes a superior contribution in nearly all areas
- Meets requirements for all areas, perhaps exceeding some
- Meets most requirements, but does need improvement in some areas
- Meets few requirements and needs improvement in many areas

This highlights Oregon's system of work planning and performance appraisal. It contains some concepts that are new to state government. As such, it will probably go through some stages of evolution and refinement. How much change will take place will not be known until agencies gain some experience in the system. However, one thing is certain. The new system will give managers fewer crisis situations to contend with because the work will be well planned in advance, there will be better communication with employes, and through the use of progress review sessions the manager will be able to stay on top of problems and thus have better control over the work in his/her unit. Employes too will be more satisfied because they will know what is expected of them, will be getting feedback from the manager as to how well they are doing, and will be meeting some of their higher level needs by gaining a greater sense of achievement through involvement in the larger purposes of the agency.

SECTION TWO

WORK PLANNING

What's new about work planning? Not too much, really. Anyone who has planned a trip or a vacation can be successful at work planning. People plan their work everyday on the job; except under work planning the plans are (1) developed jointly between manager and employe, (2) the necessary steps of each plan are spelled out more clearly, (3) strong emphasis is placed on the results of the work, and (4) the plans are committed to writing to avoid misunderstanding.

Work Planning Step-By-Step

Here are six steps the manager should take to develop sound work plans.

Step One: Review the Job

How well do you know the employe's job? You may know it very well, but be careful about your assumptions. The employe may see the job differently. You should check your knowledge of the job on two counts:

- The job content
- How closely you and the employe agree on what is expected.

One way to do this is for you and the employe to jointly review the most recent position description for the job. Pay particular attention to the principal duties and responsibilities of the job and how time is divided among the duties. Work with the employe to bring the position description up-to-date if necessary. Try to clarify any areas where there is confusion or misunderstanding about duties and expectations. This assures that you and the employe see the job in the same way.

Step Two: Identify the Areas for Work Planning

Experience has shown that work planning, to be effective, should be limited to three or four goals and applied to the problem-solving, project, or innovative aspects of a job. This can be anything in the job that you and the employe want to give some special attention to over a specified future period of time.

The kinds of work that can be subjected to work planning are as broad as the creative imagination of the manager and the employe. For example:

- Any improvement in the flow or method of accomplishing work that the manager and employe agree needs to be tackled.
- Any preparation for change you both know is coming up, such as a new skill the employe needs to acquire to perform the job more effectively, a new law or rule that needs implementation, or a new application for the computer.
- Any special project that you are going to assign to the employe for the first time.
- Any problem in getting the work done such as removing a barrier to meeting a deadline or coming to grips with a backlog.
- Any special assignment for the employe to increase skill or broaden perspective.

As you attempt to identify areas for work planning you should also be thinking about the priorities of the job. What is really top priority? Do the broader agency goals help decide what is most important to accomplish in this particular job? Work planning should be used to concentrate on areas of the job that have high priority.

Step Three: Formulate Goals

Taking those areas of the job that you and the employe have agreed have high priority and need special attention, you should begin formulating work plan goals. You do this by:

- Writing down what it is you want accomplished--thinking more about the results you want than about the means of getting there.
- Specifying a reasonable time period in which to accomplish the results. The time can be two days, two weeks, two months, or even two years. What is a reasonable period of time for the particular results?
- Specifying some measure of accomplishment appropriate to what you want to do. Will it be less of something? More of something? A better quality of service? A higher level of acceptance? Completion by the due date, of course, is one good measure of success. What are some others?

Step Four: Determine Necessary Resources

Resources include people, money, time, materials, and space. Resources are always limited. How the employe uses his time, as well as the other resources available can be very important in accomplishing results. Try to specify in the work plan the resources the employe will need to be successful in reaching the goals.

Step Five: Identify Points of Coordination

This is a very important step because a work plan is usually a part of a larger plan. Your employe's project may depend on someone else completing some phase of the work before he/she gets it, or someone else may not be able to progress until your employe's project is complete. As part of the work plan ask your employe to check and get agreement on schedules in the unit or department which need to mesh with his/her schedules.

Step Six: Set Review Dates for Follow-Up

No plan, no matter how well designed, is self-executing nor is it implemented automatically. Remember that your objective as a manager is to help keep plans progressing on schedule and to avoid any surprise, at the due date, that the project has run into difficulty. This is why follow-up action should be specified right in the plan itself. How soon or how often the manager and the employe should get together to check on progress will depend on the nature of the project and the length of time it covers.

At the end of the work planning session, you and your employe should review these six steps to be sure everything has been covered. We suggest you apply these questions to the work plan:

- ✓ Have key results been specified?
- ✓ Have priorities been established?
- ✓ Have we agreed upon ways progress will be measured?
- ✓ Have we determined the ways in which progress is to be reported to all who need to know?
- ✓ Are there adequate resources?
- ✓ Are there key coordination points of input and output and have we agreed upon what action is needed to insure coordination at these points?
- ✓ Will the results make an adequate contribution to unit and agency goals?

Progress Review and Recycling

Authorities on work planning agree the employe needs supportive follow-up by the manager within a month or so of the initial work planning session. This action on your part gives you an opportunity to do two very important things. You should find out how things are going, and what is more important, demonstrate your commitment to work planning.

This first progress review session is really a check point to see that the work plan is off to a good start. During this session you should create a problem-solving climate. You want the employe to understand that problems are not his/hers alone. The solution to problems is a joint effort. Have the employe brief you on progress so far. At this point however, don't interject your solutions. Instead ask the employe for recommendations, additions, or changes in work, priorities, timing, or whatever he/she feels will help. After listening to the employe's recommendations, you can give your ideas, then the two of you can work together to effect the changes necessary to arrive at an equitable solution.

If the employe has made any serious errors or mistakes, now is a good time to take care of them. If you put them off they may grow and become more costly. Some constructive criticism is often helpful. Confront the situation directly and help the employe recognize the mistakes made. This way the employe will probably learn from the experience and do better next time.

Above all, write down what both of you have committed yourselves to achieve. This is the beginning of the recycling process, the deliberate redoing of the work plan. This revised work plan should include any changes indicated in priorities, follow-up, completion dates, or resources. Also include any new or additional goals for the next time period and actions each of you will take to increase the effectiveness of work in the months ahead. Don't consider the session complete until decisions for action have been reached and you have jointly committed yourselves to their implementation.

As work is accomplished, you should hold additional recycling sessions to add important new goals with their supporting tasks and due dates so that planning is always current and forward-looking. Once every three months is not usually too often to hold a progress review and recycling discussion with your employes.

Remember, these progress review and recycling discussions are not formal performance appraisal sessions designed to look back and evaluate what the employe has accomplished. They are future-oriented sessions designed to refine original work plans, examine alternatives which might be faster or more efficient ways to reach the goals, and to add new goals to the work plan as original goals are reached and work accomplished. They should be problem-solving sessions in which errors, barriers, and roadblocks are confronted and needed corrective action is discussed so the employe can make the necessary adjustments in performance. The manager does not store up issues until the annual performance appraisal discussion and surprise the employe with them at that time.

Improving Performance

One of the most beneficial results of work planning is in the area of performance improvement. The contribution of work planning to improved performance comes from:

- The thoughtful selection of goals and streamlining work down to essentials.
- The scheduling and coordinating of work and careful use of resources.
- Getting feedback information on progress which will identify errors, problems, and misunderstanding before the crisis stage is reached and while corrections can be made at small cost.

Another real payoff in improved performance comes from encouraging employes to solve problems and develop new approaches in their jobs. The thoughtful analysis of ongoing work at progress review and recycling time is the key to developing improved methods. Work planning can help in several ways:

- Use of frequent pre-scheduled progress reviews ensures that a realistic amount of time is allocated and used for the development of problem-solving and innovative goals
- Focusing on the future in the recycling of work plans helps create a climate in which manager and employe will look for new methods as they seek solutions to problems that arise.
- Work planning is an individual approach that provides the flexibility needed to assign work so as to take advantage of, and build upon the particular strengths and skills of the employe. As you both gain experience in work planning you will probably become more aware of what the employe does well and where the greatest potential for performance improvement lies. Goals can then be developed to cover those areas.
- Frequent progress review sessions gives sufficient control for the manager to risk encouraging some independent and exploratory activity which can lead to a distinctive personal contribution from the employe.

In closing, it's a good idea to always include at least one specific performance improvement goal in the employe's work plan.

Comments and Suggestions

At this point we would like to offer some suggestions passed on by managers who successfully use work planning, progress review, and recycling.

Work planning focuses on individual jobs, but it helps to do work planning when you understand the goals of the managers above you and the agency priorities. Find out all you can about agency goals and priorities. This will help your employees think about their work plans and how they might contribute to agency goals. However, don't hesitate to get started on work plans that make sense in your own immediate setting. The best way to learn work planning is to start to do it, even if it's only a modest beginning. If you wait for ideal conditions, you and your employees may never begin the learning process.

Work planning is a joint process. Unless you are working with a new employee, the work plan should be developed jointly between manager and employee. It doesn't really matter who initiates the work plan, whether it is the manager or the employee. But it is extremely important that you both agree on the plan, the results to be accomplished, and the target date you expect to have it completed. It is this joint agreement that ensures joint commitment. Commitment on the part of the employee to accomplish the results, and commitment on the part of the manager to help the employee get the results.

Try not to get too technical. Don't try to quantify everything precisely. Concentrate your planning efforts where the planning will make a real difference and help you get the work accomplished.

No matter how unique a job may look, it always has some relationship to other jobs or some linkages with other people. Help your employees to think about items in their work plans that may need coordination or communication with others in order to get the results desired. You should ask questions about these coordination points, too, so that you are helping to keep plans realistic and within control of you and your employees.

There is a risk that some people will become so intent upon reaching the goals for new work that they may neglect the day-to-day work which must go on. You may have to remind these people that the day-to-day work is still an important part of their job.

Don't become frustrated and discouraged because you may experience some difficulty in thinking about creating new conditions and results. It may take some time before you become proficient in determining what you need to do, how to do it, and then using these plans and goals as controls over what you do.

SECTION THREE

APPRAISING PERFORMANCE

Isn't work planning a substitute for performance appraisal? This is a frequent misconception. It develops from the fact that many managers appraise employee performance on the basis of accomplishment against pre-established work plan goals. However, work planning and performance appraisal are quite different tools, designed to fill very different purposes.

For clarification, work planning is a process for individualizing the agency's plans and goals and reviewing progress at frequent intervals in a problem-solving atmosphere. Its main purpose is to clarify what the employee is to do, sustain interest in doing it and focus attention on better, more effective ways of doing it.

On the other hand, performance appraisal is the manager's opinion of how well the employee has carried out the agreed upon plans or reached goals. In essence, it is the manager's overall evaluation of how well the employee is doing the job. Performance appraisal involves a discussion between manager and employee so that the employee clearly understands the manager's conclusions about the overall job performance.

There is a definite relationship between the two processes. Information obtained during the progress review sessions of the work planning process provides valuable data to the manager when he is making his performance appraisal decisions. However, not all information needed for a complete evaluation of job performance is supplied in this way.

A comprehensive look at performance will need to include an evaluation of the regularly scheduled or day-to-day work not covered by the work plan. This is especially critical for jobs that have a high percentage of regularly scheduled work. Oregon's new performance appraisal report form (PD-140) contains provisions for evaluating regularly scheduled work in addition to the accomplishments under work planning.

Performance Appraisal Step-By-Step

There are some special steps the manager should follow in conducting a performance appraisal discussion with an employee.

Step One: Collect Information

The manager should be collecting information throughout the year on how the employe has been doing on the job. This information comes from the manager's observations of how well the employe has carried out the regularly scheduled or day-to-day responsibilities not covered by the work plans, and by reviewing past work plans and assessing how well the employe has carried out the goals that were agreed upon.

Step Two: Completing the Form

With the above information in mind the manager should follow the agency's procedure for completing the performance appraisal report form (PD-140). Instructions accompany the forms and should also be followed.

In completing the form the manager should remember that the appraisal is an opinion of how well the employe has performed on the job during the year. The information collected from the above sources helps the manager to be as objective as possible in making this decision.

Step Three: Discuss the Appraisal with the Employe

The manager should set a specific time to discuss conclusions about the employe's performance with the employe. During the actual appraisal discussion the manager should concentrate on goals rather than personality traits unless a particular personality trait has been included in the work plan. The manager reviews the goals accomplished during the year, rewarding with praise where appropriate. The manager shouldn't make a big deal out of goals that weren't reached. Instead the manager should talk of the future and how the employe might accomplish the new goals that will be negotiated in the next work plan.

The manager should share with the employe a copy of the appraisal report, giving the employe ample time to read it over. The employe should be encouraged to comment on the appraisal with the manager spending whatever time is needed to answer the employe's questions. Full discussion of points needing clarification is important as well as listening to whatever is on the employe's mind. Most managers feel this type of discussion takes about an hour.

The basis of the appraisal report should be made clear to the employe with examples cited wherever possible. However the manager should not pretend that the conclusions on the appraisal report are more than opinions. If during the discussion the employe introduces important evidence or information that hadn't been considered before, the manager shouldn't hesitate to make changes in the report. To be open-minded in the face of new information is a continuing managerial responsibility.

The manager should avoid unnecessary criticism or dwelling on deficiencies during the appraisal discussion. If the manager has been conducting periodic progress review sessions during the year as part of the work planning process, the employe will already have a good idea of short comings or problems. Chances are the employe has already undertaken action to overcome these problems. Bringing them up again at this time will probably not result in improvements in performance. Nor should the manager save up errors that have occurred over the months and bring them up at this time. Discussion of errors and necessary corrective or disciplinary action should take place at the time of the progress reviews, or even more preferably, right on the spot when they occur.

Experience has shown that dwelling on negative aspects will cause the employe to turn off and not hear some of the other things the manager has to say; or perhaps become defensive and argue all the points on the appraisal. In order to encourage continued striving for improved performance the manager will want the appraisal discussion to be a positive experience for the employe.

The appraisal discussion should be concluded by letting the employe know about any special recommendations that will be made such as a salary increase, special training program, new job assignment, etc. A date in the near future to begin negotiation on a new work plan should also be set at this time.

After the discussion the employe should sign the appraisal report; then the manager should route the report through the appropriate channels established by the agency.

SECTION FOUR

SOME SPECIAL USES OF WORK PLANNING

Chances are the appraisal discussion will bring out areas where the manager and employe will want to negotiate some special work plan goals. For example, if there have been problems in getting the day-to-day or regularly scheduled work done then work plan goals should be developed to overcome these problems.

Other areas where special goals might be beneficial are in employe development and working with employes who are marginal performers.

Work Planning as a Developmental Tool

Many people feel that employe development is something that must go on in a classroom or outside of the job. However, modern managers know that work itself can be developmental. By using work planning the manager has an excellent tool at his/her disposal for the development of employes.

For example, the work plan can include some new job elements that require new knowledge or skill or enhance employe strengths that have not been fully utilized.

Another suggestion would be to include in the work plan an assignment designed to broaden or deepen the experience of the employe in specific ways. Among the assignments a manager might consider could be those that bring the employe into new relationships within the agency and give a bigger picture of the organization's longer range or broader goals.

An additional way to develop an employe is to give him/her a special problem to tackle along with additional help and guidance, or give the employe the freedom to work out a problem on his/her own in a systematic fashion. Of course, sending an employe to a class or workshop to learn more about the agency or job responsibilities can also be a developmental goal.

Actually, using work and work planning for development are limited only by a manager's imagination. By looking imaginatively at some of the trends and situational factors surrounding the job or the agency as a whole the manager can usually identify several areas that offer opportunities for employe development.

The real key to employe development is to include at least one developmental goal in each work plan. By doing this the manager can help make work and its accomplishment more meaningful and more satisfying for employes.

Helping Marginal Employees Increase Performance

Work planning can also be useful in helping marginal employees bring their performance up to acceptable levels. Caution should be used here so that the manager doesn't attempt to analyze the reasons for poor performance without first having adequate data or information. In this situation the supervisor needs feedback or information from the employee before a solution to the problem can be worked out.

A good way to get information from the employee is to set up a special progress review discussion. Remember this should be a problem-solving discussion, so don't take the employee to task.

Start the discussion by reviewing with the employee the parts of his/her performance that are causing concern. Cite examples wherever possible. Then, ask the employee what he/she thinks is causing the problem. Listen carefully to the employee's side of the story. Chances are that the employee has a pretty good idea of what's wrong.

After some agreement has been reached as to the causes of the employee's poor performance, a special work plan to overcome the problems can be negotiated. Three specific steps are recommended in setting up this work plan:

- Reduce the number of the employee's goals to a few of high priority. Make sure these goals are reasonable and achievable within the time span allotted.
- Clearly define the measurement part of the goals. Make sure this is specific enough so that the employee has a good chance of getting feedback about progress so he/she can make needed adjustments quickly.
- Shorten the time cycle. Reduce the time covered by the goals the employee is trying to achieve and schedule more frequent progress review sessions that are keyed to the smaller, tighter goals.

After the special work plan has been developed and agreed upon, the manager should follow up by conducting frequent progress review discussions with the employee. These can be held once a month, once a week, or even daily if necessary. During these review sessions the manager and employee should be evaluating their agreed-upon actions. Has the reduction in goals helped? Is the employee responding to feedback from the manager? Did spelling out the desired results in more detail help?

In addition, the manager should reinforce changes in the employee's behavior which indicate progress. Compliment the employee and let him/her know you are aware of the improvement. Most important of all, keep communication channels open by being available to the employee whenever he/she needs additional help or information.

If improvement doesn't occur within a reasonable length of time then perhaps a different work assignment for the employee should be considered.

Two very good books are recommended to those managers who want further information on how to deal with marginal performers: "Analyzing Performance Problems" by Robert F. Mager and Peter Pipe, Fearon Publishers, Belmont, California, 1970 and "Managing the Marginal and Unsatisfactory Performer" by Lawrence Steinmetz, Addison-Wesley Publishing Co., Reading Massachusetts, 1969. Both books are available in paperback at low cost and offer detailed suggestions for working with marginal performers.

SECTION FIVE

THE JOB OF THE MANAGER

Establishing the Right Climate

Work planning, progress review, and recycling discussions are all joint efforts between manager and employe. As such they require that the manager encourage maximum participation from the employe. The amount of employe participation during these discussions is quite often dependent upon the type of climate the manager establishes.

Following are some suggestions for the manager who is getting ready to conduct a work planning, progress review, or recycling discussion:

- Plan ahead
- Establish a good relationship
- Assure a good physical setting
- Encourage a smooth flow of conversation
- Be a good listener
- Summarize

Let's examine these suggestions in more detail.

First of all, plan ahead. Have a clear idea in mind of the results you want to achieve in the discussion. Be sure you have all the necessary facts and information you might need. Pick a time and place for the discussion so you are assured it will go smoothly.

Second, establish a good relationship with the employe. Set the employe at ease. Break the ice by engaging in some preliminary conversation, then clearly inform the employe of the purpose of the discussion.

Third, assure there is a good physical setting for the discussion. Be sure there is privacy. Arrange the room so it is pleasant and the employe can have eye contact with you without interference. Be sure the seating is comfortable and the lighting not glaring or too bright. If you don't have an office, find some privacy in a corner of the shop or off away from the rest of the crew.

Fourth, encourage a smooth flow of conversation and information. Be careful how you use questions. Use direct questions only when you want facts or specific information. Use open-ended questions when you want to get the employe's opinion or views. Be careful about the use of complicated words. Use plain English that everyone can understand. Make it a two-way conversation by encouraging the employe to talk. Don't dominate the discussion or try to "snow" the employe.

Fifth, and above all, be a good listener. Listen for non-verbal communications as well as what is said by observing facial expressions, body posture, etc. Give the employe your undivided attention by planning ahead to prevent interruptions such as phone calls, people dropping into the office, etc.

Finally, summarize the discussion to assure that there is agreement and understanding. If the discussion is lengthy, like an hour or more, it is wise to summarize two or three times at convenient breaks in the discussion. This provides the employe and you with the opportunity to correct any misunderstanding that may have developed during the conversation. Be sure to make notes of agreements reached and any changes in goals or plans so the work plan can be modified accordingly.

Coordinating the Work

A particular problem area that needs the manager's attention is that of coordination. Employe goals usually contribute to work unit goals which in turn contribute to the large agency goals. Work at these various levels can't go on in isolation. There must be communication and coordination. It is easy for an employe to become so immersed in his/her own job that he/she forgets that other employes need to know his/her schedule, progress, beginning and completion dates, etc. so they can accomplish their work plan goals. It is imperative that the manager frequently stress this important fact with employes.

Some managers have found that it is beneficial to hold group planning meetings with their employes so the overall work unit goals are clear to everyone. Individual employes are then better able to identify necessary resources, how their work contributes to the unit's goals, where the points of coordination exist, where the work comes from, where it goes upon completion, and who they must communicate with in order to achieve optimum results.

This group planning technique is also useful when a work unit is assigned a new goal that must be broken down into individual work plans. By using a group planning meeting, individuals can identify the areas where they can make the best contribution in keeping with their abilities and interests, then develop work plans for those aspects of the work. This technique has strong motivational characteristics because it gives the employes "a piece of the action" very early in the planning process.

Ethical Considerations

The term ethics refers to the moral practices you pursue in your managerial duties. As a manager you are responsible to protect the rights and human dignities of your employes.

In the appraisal process managers make judgments about their employes' performance. When you make these judgments about individuals you need to be aware of the ethical considerations involved. For example, your appraisal of an employe could affect not only his/her working relationship with you, but possibly his/her career and even ultimately the employe's future. With this consideration in mind, you want your appraisals to be objective, fair, and impartial.

Following is a list of things to remember when you make appraisal decisions.

- Make your appraisal on information that is representative, sufficient, and relevant. The new appraisal system should provide you with this type of information since it is based on performance and joint work planning rather than personality traits.
- Make an honest appraisal. Some managers find it extremely difficult to talk to employes about the need for improvement. They don't want to hurt the employe's feelings. They tend to talk as though everything were all right even though improvement is needed. If managers really want to help they will face up to their managerial responsibilities and give the employe constructive criticism when its needed.
- Keep written and oral appraisals consistent. Don't write what you won't say.
- Don't appraise people on the basis of their education, experience status, or position in the hierarchy. Appraise them on their performance.
- Don't appraise on hearsay information or someone else's opinion of the employe. Appraise the person only on the basis of what you have observed or can document.

The manager should also be careful when communicating opinions about an employe's performance because there is always the danger of the information being misinterpreted or misused by the receiver.

When you give out information about employe performance there are three things you should do.

- Find out the reason for the request for the information before replying. Is the employe up for a promotion, being considered for a special assignment, being nominated for a training program? Make your reply consistent with the reason for the request.
- Be careful about giving out informal, off-hand opinions. An unsubstantiated comment can have serious consequences. Give out information only from accurate records.
- Give appraisal information only to those who have a legitimate need to know.

In conclusion, you should always be as objective, fair, and ethical as possible when appraising employes and providing others with appraisal information. This way you avoid some of the negative consequences that can arise from the appraisal process.

Other Managerial Responsibilities

Throughout the work planning efforts the manager should be sure not to overlook any managerial responsibilities. The manager will want to pay particular attention to:

- Delegating sufficient authority to employes to carry out their work plans
- Providing employes with the resources needed
- Rewarding successful efforts with praise and recognition
- Making as great a commitment to employe success as the employe makes

At times the manager may need to put forth some extra personal effort to remove roadblocks and barriers to employe success. Examples might be negotiating with agency administration on problems so additional time or resources can be obtained, clarifying unit and agency goals, and communicating with other departments and other managers where broad coordination efforts are required.

Since the manager is ultimately responsible for the results produced by his/her employes, it's wise to correct employe mistakes as quickly as possible. Don't be afraid to confront a problem situation. Constructive criticism given at the time an employe makes an error can often prevent a problem from growing and getting out of hand.

Summary

The manager's primary means of meeting agency goals effectively is the productivity of his/her employes. The cycle of work planning, progress review, and performance appraisal gives the manager a sound, yet flexible system for working with employes. It is one of the most up-to-date systems available for planning, communicating, coordinating, and evaluating work. After using the system for awhile most managers find they have better control over what is happening in their unit and their employes are more highly motivated and more satisfied.

Work planning and progress review is the basic tool for communicating and clarifying work expectations, for motivating employes and gaining commitment to accomplishment, and for improving employe performance.

It has become clear that the manager and employe who frequently review progress against goals in a cooperative problem-solving climate are much more likely to accomplish desired results than those who do not conduct such discussions. It is also clear that structuring goals requiring improved performance, increased knowledge, increased skill, or a change in working methods stimulates employe growth and development.

Performance appraisal helps assure a careful evaluation of the employe's contribution and recognition of work well done. It provides a "warning system" for desired changes in performance. Performance appraisal gives the manager an opportunity to consider useful changes in job content and design which are likely to pay off in terms of the employe's development. It also gives objective information about individual employe contribution that will assist the manager in making sound recommendations about such things as training, job assignment, and salary increases.

As a closing reminder, a cooperative problem-solving climate requires that correction of employe mistakes be made in as positive a spirit as possible. This means the manager will want to avoid too much criticism of past failures while conducting discussions with employes. As mentioned earlier in the section on appraising performance, excessive criticism often turns the employe off or causes him/her to become defensive to the point where communication and cooperation are blocked. As a general rule emphasis should be on how to do the job better in the future and thus improve performance and achieve greater results.

SECTION SIX

COMMON QUESTIONS AND ANSWERS

- Q1. Where can I get help with this new system if I need it?
- A1. Besides this handbook, resources include: sound-slide sets with work books that explain the system in detail; these are available in some agencies and through the Personnel Division. The agency personnel officer and training officer can provide assistance in implementing the system. The Personnel Division has staff available for consultation on special problems. The bibliography in this handbook provides a list of suggested readings for managers who want a broader knowledge of the theory and application of the system.
- Q2. Do I have to change my style of supervision to use the new system?
- A2. Perhaps. To be successful with the new system the manager will need to involve employes in setting goals, planning the work, etc. If you are used to giving orders and having your employes carry them out without discussion you will probably have to make some changes so you can begin to involve your people more in deciding how things should be done. It is this involvement that motivates the employe to do a better job and increases performance.
- Q3. Why is management by objectives such a good process?
- A3. Mainly because it forces an agency to pay closer attention to its purpose and what it is trying to accomplish in the way of results. This prevents employes from getting caught up in day-to-day activities and losing sight of the overall goals.
- Q4. How is work planning different from planning in general?
- A4. The big difference is that it takes the overall plans or goals of an agency and breaks them down into individual plans for each employe. This helps everyone see more clearly what their individual job is and how it fits into the "big picture."
- Q5. Am I required to do work planning with my employes?
- A5. The new performance appraisal form (PD-140) requires that you base some of your evaluation of an employe's performance on goals accomplished under work planning. If you haven't developed work plans

with your employes you won't have adequate information with which to make an objective evaluation of performance. You would have to rely on your personal impressions of the employe which may not be job-related, and of course, this is not very fair to the employe.

- Q6. Do I have to write new position descriptions for my employes before I can start developing work plans with them?
- A6. Not if you have fairly current position descriptions on file. Review these position descriptions with your employes to be sure there is clear understanding and agreement on the job to be done, then begin developing your work plans. If the position descriptions are old you should probably work with your employes to update them.
- Q7. What's the difference between a position description and a work plan?
- A7. A position description generally outlines only the basic duties and responsibilities of the job. It doesn't contain information about priorities, goals, special projects, problems to solve, resources needed, etc. that the work plan provides.
- Q8. How do I determine what my work unit's goals should be?
- A8. Hopefully you and your boss have developed a work plan for your job as a manager. This work plan should provide good information about the goals and priorities for your unit. If you don't have a work plan for your job, you may have to take the initiative. Find out what the overall agency goals are and how your work unit fits into the agency's "master plan." Then prepare some goals for your unit and present them to your boss for approval or modification. Once this is done and your unit goals are established you can begin breaking the goals down into individual work plans for your employes.
- Q9. I'm confused. What's the difference between goals and objectives?
- A9. This point has been argued for years. Some writers express goals as specific, measurable results and objectives as general or broad aims of a long range nature. Others see them the other way around; that is they see goals as the general, broad, long-range aim and objectives as specific measurable results. To avoid confusion and a lengthy discussion of what is meant by a goal or an objective, it is suggested that for work planning purposes the two terms be used inter-changeably. Thus, a goal or an objective in a work plan should express the specific end result that you wish to accomplish.

Q10. How do I write goals that are measurable?

- A10. This is hard to do without some practice. It is not unusual for several attempts to take place before you become proficient. The key is for you and your employe to ask yourselves how you will both know when the goal has been accomplished satisfactorily. On what will you base this judgment. Ask yourselves questions such as what, when, how much, how many. Above all, don't try to quantify everything perfectly. Many goals are too general or abstract for that. Even a simple thing like meeting a deadline with a special report can be one useful indication of success.
- Q11. Why should I have to "negotiate" everything with an employe who is paid to do the job?
- A11. By negotiation we mean pooling the information of the manager and employe, their examination of each other's perspectives, priorities and interests, and their joint exploration of the pros and cons of various courses of action. There are some important benefits derived from this negotiation. First, this interaction usually results in a better understanding of each others position and a reconciliation of differences. Second, the manager is able to obtain information from the employe that might not be obtained otherwise. With this more complete knowledge the manager is better able to make sound decisions. Third, where areas of choice exist in the work the employe has an opportunity to influence the choice in the direction of his/her interests which contributes to higher motivation and commitment.
- Q12. What do I do with an employe who won't agree to anything?
- A12. Throughout this handbook we have emphasized negotiation and joint goal setting as the desirable way of developing work plans. Always try this approach first. However, occasionally an employe for one reason or another will not respond to this process. If this happens then you may need to be arbitrary and develop a work plan for the employe. Be reasonable in setting up the plan, then hold the employe to it as closely as possible.
- Q13. How often should I hold progress review sessions?
- A13. This depends on the time span covered by the work plan. For goals that are complex and take several months to accomplish it's a good idea to hold progress review discussions once every three months. However keep the door and lines of communication open so the employe can discuss problems, strategies, etc. with you more often if this is necessary. For shorter range goals, shorten the time span accordingly. If you are attempting to improve the performance of a marginal employe, once a month, once a week, or even daily progress review sessions may be necessary to get the desired results.

Q14. We never know from one year to the next what the Legislature will do or how much money we will have. How can we write goals under these conditions?

A14. This can happen in some agencies. Also, in some agencies the overall goals are, by choice, fluid and constantly changing. The work planning, progress review, and recycling process can be of real help in these situations. First, an important part of work planning is assessing resources and developing goals in keeping with the resources that are available. As resources change so should agency goals and priorities. Second, work planning forces agencies to frequently review their goals, re-write them if necessary, then communicate them down the line to all who need to know. In this way employes can keep up with the changing goals and adjust their work plans accordingly so the agency doesn't end up going several different directions when changes take place.

Q15. Won't work planning just take up a lot of extra time and add to the paper work of my job?

A15. Chances are you are already spending time with your employes trying to clear up misunderstandings and communications problems. The time spent on work planning probably won't take any more time than you're presently giving and should greatly reduce these problems. Even if things are running smoothly in your unit, the time you spend on work planning should pay off in terms of increased productivity and results from your employes. As far as the paper work is concerned, if you and your employes prepare your work plans in an informal way, possibly even handwritten, and if you make whatever changes are needed throughout the year right on the original plan, the paper work should not become a problem. Usually paper work volume rises if plans are typed (with many copies) and retyped after each progress review. Another cause of excess paper volume is if the work is overplanned; that is, every small effort and detail written down. Using work planning primarily for high priorities and important areas where the effort will really make a difference in results should keep the paper work down.

Q16. Isn't work planning a substitute for performance appraisal?

A16. This is a frequent misconception. It develops from the fact that many managers appraise performance on the basis of accomplishment against pre-established work plan goals. However, work planning and performance appraisal are quite different tools, designed to fill different purposes. For clarification, work planning is a process for individualizing the agency's plans and goals and reviewing progress at frequent intervals in a problem-solving atmosphere. Its main purpose is to clarify what the employe is to do, sustain interest in doing it and focus attention on better,

more effective ways of doing it. On the other hand, performance appraisal is the manager's opinion of how well the employe has carried out the agreed upon work plans and met the day-to-day responsibilities of the job. In essence, it is the manager's overall evaluation of how well the employe is doing the job.

Q17. Most of my people do a lot of routine work. How do I measure their performance?

A17. Experience has shown that work planning, to be effective, should be limited to the project, problem-solving, or innovative aspects of a job. This means that the manager and employe will have to separate those portions of the job that have set routines from those that involve special problems to solve or new approaches to try.

A current position description is very important for jobs that contain a high percentage of routine, regularly scheduled, or day-to-day work. It is important because it provides the employe and manager a common understanding of the basic duties and responsibilities of a job out of which work plan goals can evolve. If the position description is not current, then you and the employe should up-date it.

By attaching written performance expectations or standards to the position description the manager has an objective method of evaluating the regularly scheduled duties of the job not covered by work planning.

How well the employe meets these performance standards during the year can then supply valuable information to the manager when completing the day-to-day work section of the annual appraisal report.

Briefly, a performance standard is a statement of conditions or results that will exist when a job is satisfactorily done. It establishes an ideal or target for the employe to shoot for. Since it spells out desired results it communicates far more clearly than a list of responsibilities alone. Although ideal in nature, standards should not be beyond the reach of the employe. They should be clear and simple and should be kept reasonable and attainable. Ideally, performance standards for a position should be developed jointly between manager and employe.

One of the pitfalls of setting performance standards is the tendency to strive for something that looks precise on paper. This striving for exact measurement can be very frustrating because few jobs lend themselves to perfect measures of performance. It is best to remember that what finally emerges as a standard is of less importance than the process whereby the standard has been

developed. The main purpose of developing standards of performance is not to produce a perfect set of yardsticks etched in stone, but to open up communications between employe and manager about what is expected of the employe in the way of job performance on the regularly scheduled, day-to-day work.

To be effective, a standard should include some concept of quality, quantity, cost, and time. Here are some sources from which these concepts can be developed.

- Personal observation and experience of the employe and/or manager
- Past performance records or production reports
- Time study (analysis of time required to perform a specific task)
- Work sampling (finding out what people do, rather than how fast they do it)
- An absence of errors, mistakes, or complaints in the work

With some practice, managers usually find that they and their employes can set standards that not only lend themselves to some measurement, but communicate very clearly the performance expectations of the job that will provide a solid and objective base on which performance appraisal decisions for regularly scheduled, day-to-day work can be made.

Q18. What if the employe doesn't meet the goals that were agreed upon?

A18. First, approach this situation in a problem-solving way. Try to find out why the goals weren't accomplished. Ask yourself: were the goals clear and understood by the employe? Were the goals reasonable? Was sufficient time allowed? Were there adequate resources? Did the employe have to rely on someone else for part of the work and did they fulfill their responsibilities? Did you provide the employe help when needed?

Chances are you will find the reason in an answer to one of these questions. If you do, re-negotiate the goals and set up a new work plan to overcome whatever barriers or roadblocks occurred.

If you don't find your answer in these questions, ask the employe what happened. Perhaps something interfered that you are not aware of. If the employe has a reasonable explanation, accept it and re-negotiate the goals. If the employe does not have a reasonable explanation, perhaps you have a marginal employe on your

hands. Review the suggestions for dealing with marginal employes in Section Four of this handbook and set up a new work plan based on those suggestions.

Q19. How are the performance appraisal reports used?

A19. The appraisal report provides the manager with excellent information upon which to base recommendations for such things as training programs, special job assignments, and pay increases. It is also used in determining layoffs. As in the past, copies of the appraisal reports will be filed in the agency personnel office and in the Personnel Division. No other use of the reports is anticipated at this time.

Q20. Will the new system help me document cases that become grievances, etc.?

A20. The work planning and performance appraisal system should certainly help with those problems that are related to employe performance. Because duties, responsibilities, and performance expectations will be better communicated to, and understood by the employe, grievances arising out of misunderstanding between employe and manager in this area should decrease appreciably. If grievances do arise around the area of performance, the work plans should provide excellent documentation of what was discussed and agreed upon. When dealing with a marginal employe it is probably wise to be extra careful in keeping a written record of work plan agreements because if performance continues to decrease, disciplinary action may become necessary. In such a case the work plans will provide excellent evidence of your attempts to help the employe measure up. It's a good idea to have the employe carefully review the work plan before agreement is reached.

Q21. Most of our goals can't be met by one person. We have a number of employes responsible for them. What do I do about that when writing work plans?

A21. Some goals are so large that several employes must work on them at the same time. It's okay to break a goal down into smaller parts and divide up the work among your employes. Just make sure they are not all working on the same part. To ensure good communication and coordination, try using the group planning method. This usually prevents unnecessary overlap and duplication of effort. You might even try letting your employes choose the parts of the goal each would prefer working on. This technique usually increases employe motivation and improves results.

- Q22. I've tried to discuss performance with my employes in the past, but they never have much to say. How do I get them to talk under this new system where it's required for success?
- A22. Experience has shown that employes usually have a lot more to say than managers think they do. The key is to encourage them to talk and to establish an environment where they feel what they have to say is important. This is done by using their ideas and suggestions' whenever possible. By doing this it won't take long before they realize that you really want their participation and involvement.
- Q23. How flexible can I be in using this new system? Do I have to following precisely the steps in this handbook?
- A23. The only part of the system that must be followed exactly is the instructions attached to the PD-140, performance appraisal report form. These instructions are spelled out in detail so there will be uniformity in reporting. The rest of the system can be modified to fit the particular needs of your agency, work unit, or employes. In fact, some experimentation with the system will probably improve it. However, it is recommended that you follow the steps outlined in this handbook until you get a good feel of the system and where it would be most beneficial to make changes to suit your needs or situation.
- Q24. Is this new system really that much better than our old system?
- A24. That's a good question. In the old system evaluation of performance was usually based on the manager's impressions of how well the employe was doing his job. Often these impressions were not directly related to job performance. The new system overcomes this by forcing the manager to set goals and performance expectations in advance, then evaluating performance in relation to those goals and expectations. It is felt that this is a much more fair and objective way of appraising performance. Also, the new system provides the manager with the means to improve communication, coordination, motivation, and performance in his/her work unit. However, like anything that is worth pursuing, the payoff or benefit you will get out of the new system depends upon how much effort you put into making it work for you.

APPENDIX

This appendix contains examples of performance appraisal reports, position descriptions, and work plans drawn from a variety of state agencies now using the work planning, progress review, and performance appraisal system.

STATE OF OREGON

Executive Department — Personnel Division

INSTRUCTIONS FOR PREPARING THE PERFORMANCE APPRAISAL FORM

Purpose and Use — The attached performance appraisal report form is designed to evaluate employee performance in conjunction with the new performance appraisal system.

The main purpose of performance appraisal is to help develop and improve the performance of employees in state service. The report is also important in supplying information to decision-making centers that develop pay increase and layoff policies. It may also be used by agencies in determining future job placement, determining developmental needs of people, and selecting employees for special training.

Who is Appraised — All regular employees must be appraised annually on a date established by the appointing authority. New employees must be appraised at least two weeks before the end of their trial service period.

Who Does the Appraisal — Performance appraisal reports are to be done by the person designated as the immediate supervisor of the employee.

What is Appraised — The work itself, and more importantly, the results of work accomplished are the emphasis of the performance appraisal report. The appraisal should compare an employee's performance with the goals which the supervisor and the employee agreed upon for his job as well as expectations on day-to-day work. It is assumed that the following steps have been taken prior to completing the appraisal report:

- (a) The supervisor and employee have planned the work and agreed on goals to be met.
- (b) Times have been set for getting the desired results.
- (c) The supervisor and employee have agreed upon how well the work is to be done.
- (d) Needed resources have been identified and agreed upon.
- (e) Dates have been set throughout the year for the supervisor and employee to get together and check the progress of the work — whether it is going as planned.
- (f) Needed changes in the goals have been made and agreed upon.

HOW TO PREPARE THE FORM

Complete in Triplicate — The performance appraisal form is a three copy form. The original copy remains with your department, the pink copy is sent to the Personnel Division, and the blue copy is given to the employee.

Heading of the Form — Be sure to fill in all the items listed. Name of Employee. State Agency. Social Security Number. Classification Number and Position Title. Section (Division, Unit, etc.). Report Period (Dates showing length of time covered by the appraisal). Rating for either Trial Service, Annual, or Special Appraisal.

Evaluation Categories — Be sure to thoroughly consider and answer all of the evaluation questions.

I. Summary of Major Work Accomplished.

- A. **Briefly describe the major work done well during this reporting period:** This asks for an overall summary or overview of all the work that was done well during the period covered by the report. Include both planned and day-to-day or regularly assigned work. Concentrate primarily on those areas of major responsibility. Do not consider uncompleted work or poor performance under this category, they will be covered under other sections of the report.

II. Evaluation of Performance Under the Work Plan.

- A. **Were the major results agreed upon achieved?** Under this category you should describe or spell out the major work agreed upon under the work plan and indicate whether or not the desired results were achieved.
- B. **To what extent and how well was the planned work done?** Consider here whether or not all the work agreed on was accomplished. Also, if it was accomplished as well or better than expected.
- C. **Were there problems in getting the desired results?** List any problems that interfered in carrying out the major work outlined in the work plan.
- D. **If there were problems in getting results, what actions were taken?** Specify the course of action you and the employee took to resolve the above problems and the result of that action.

III. Evaluation of Performance on Day-to-Day Work not included in the Work Plan.

- A. **Was the major day-to-day work done as expected?** This question refers to the regularly assigned, day-to-day responsibilities of the job that are not covered by the work plan.
- B. **To what extent and how well was the day-to-day work done?** Did the employee get all regularly assigned work done? Was the work accomplished as well or better than expected?
- C. **Were there problems in getting the desired results?** Here you are to list any major problems that interfered with the achievement of results in the regularly assigned or day-to-day work.
- D. **If there were problems, what actions were taken?** Specify the course of action you and the employee took to resolve the problems that interfered with the accomplishment of the day-to-day work and the results of that action.

(SEE BACK)

IV. Evaluation of Work Relationships.

- A. What kinds of relationships with other people are important to getting results on this job? Specify any relationships with the public, other agency people, other employees, etc., that are important to getting results either on the work plan or day-to-day aspects of the job.
- B. How well did the employe establish and maintain these relationships? This question asks you to make a decision about how well the employe works with other people in relation to the results areas specified in the above question.
- C. If there were problems, has the importance of this been talked over with the employe? State any major relationship problems the employe had that interfered with getting the job done and specify how you and the employe dealt with these problems.

V. Employee Development.

- A. List one or more developmental opportunities planned for this employe. State how you intend to help the employe grow during the next appraisal period. Examples might be taking a special class or course of study, on-the-job training, a special assignment in a new area, or filling in for you while you are on vacation.
- B. The following developmental opportunities are being considered for inclusion in a future work plan. State the developmental goals you plan for the employe during the next appraisal period.

VI. Summary Evaluation.

- A. Makes superior contribution in nearly all areas. This category should be reserved for those rare employees who have made a major contribution to agency efficiency or effectiveness in addition to being excellent in the overall work. Be sure to cite examples of the employe's superior contribution.
- B. Meets requirements for all areas, perhaps exceeding some as described below. This category refers to the employe who generally does a good job, gets all work done, has few or no major "shortcomings," and perhaps has even exceeded expectations in some areas of the job. Be sure to describe those areas where expectations have been exceeded.
- C. Meets most requirements but does need improvement in areas listed below. This category refers to the "borderline" employe who does a good job in some areas but needs definite improvement in others. Be sure to list those areas where improvement is desired.
- D. Meets few requirements and needs improvement in areas listed below. This category refers to the employe who just doesn't measure up. Improvement is needed in so many areas that there is real question about whether or not this employe will make it on the present job assignment. Again, be sure to describe those areas where improvement is needed.

SIGNATURES

Be sure to thoroughly discuss the performance appraisal report with the employe and have it signed before the pink copy is sent to the Personnel Division.

PD-140 Rev. 7-72

STATE OF OREGON
Executive Department, Personnel Division

Complete in Triplicate:
Original for Department
Pink Copy for Personnel Division
and Blue Copy for Employee

REPORT OF PERFORMANCE APPRAISAL

NAME OF EMPLOYEE		STATE AGENCY	
SOCIAL SECURITY NO.	CLASS NO. AND TITLE	SECTION	
REPORT PERIOD	RATING FOR:		
From: _____ To: _____	Trial Service _____ Annual _____ Special _____		

(If additional space is needed for comments, you may add extra pages.)

- I. **Summary of Major Work Accomplished:** (Summary should include both planned and regularly scheduled work.)
 - A. Briefly describe the major work done well during this reporting period:

- II. **Evaluation of Performance Under the Work Plan:**
 - A. Were the major results agreed upon achieved?

 - B. To what extent and how well was the planned work done?

 - C. Were there problems in getting the desired results?

 - D. If there were problems in getting results, what actions were taken?

- III. **Evaluation of Performance on Day-to-Day Work not Included in the Work Plan:**
 - A. Was the major day-to-day work done as expected?

 - B. To what extent and how well was the day-to-day work done?

 - C. Were there problems in getting the desired results?

 - D. If there were problems, what actions were taken?

(SEE BACK)

IV. Evaluation of Working Relationships:

- A. What kinds of relationships with other people are important to getting results on this job?
- B. How well did the employe establish and maintain these relationships?
- C. If there were problems, has the importance of this been talked over with the employe?

V. Employee Development:

- A. List one or more developmental opportunities planned for this employe:
- B. The following developmental opportunities are being considered for inclusion in a future work plan:

VI. Summary Evaluation:

- A. Makes superior contribution in nearly all areas. (Give examples of major innovative contributions to work or organization improvements.)
- B. Meets requirements for all areas, perhaps exceeding some as described below.
- C. Meets most requirements, but does need improvement in areas listed below.
- D. Meets few requirements and needs improvement in areas listed below.

I have seen a copy of this appraisal and it was discussed with me.

EMPLOYEE	DATE	SUPERVISOR	DATE
APPOINTING AUTHORITY	DATE	REVIEWER	DATE



1. APPROVED CLASS (THIS BLOCK FOR PERSONNEL DIVISION USE) USE)		CLASS NO. 0012	POSITION INVENTORY NO. 5221
2. RECOMMENDED CLASS Secretary 2		3. PRESENT CLASS, IF EXISTING POSITION Secretary 2	
4. AGENCY Childrens Services Division		5. WORK UNIT Staff Development Unit	6. LOCATION (ROOM NO. - BUILDING - CITY) Salem
7. THIS POSITION IS OCCUPIED BY: (NAME) Sally Ann Smith		8. WORKING TITLE OF POSITION Secretary	
9. THIS DESCRIPTION IS INTENDED TO SHOW: <input type="checkbox"/> A NEW POSITION <input checked="" type="checkbox"/> CHANGES IN EXISTING POSITION (Revised)		10. THIS POSITION IS <input checked="" type="checkbox"/> PERMANENT <input type="checkbox"/> LIM DURATION <input type="checkbox"/> SEASONAL <input checked="" type="checkbox"/> FULL-TIME <input type="checkbox"/> PART-TIME	
11. SUMMARY STATEMENT OF THE DUTIES OF THIS POSITION (DESCRIBE IN ONE SENTENCE IF POSSIBLE): Secretary - receptionist for Staff Development Unit			
12. DESCRIPTION OF DUTIES—NOTE: THIS IS THE MOST IMPORTANT ITEM ON THIS FORM. BE SURE THAT YOU UNDERSTAND THE INSTRUCTIONS BEFORE COMPLETING THIS SECTION. SHOW APPROXIMATE TIME SPENT ON EACH DUTY BY PERCENTAGE OF TOTAL TIME, OR HOURS PER DAY, WEEK, OR MONTH.			
TIME	WORK PERFORMED		
	Opens and distributes all incoming mail for Unit. Prepares all outgoing mail for pickup. Receives visitors and directs them to appropriate Unit employees. Answers phones for Unit, directing calls to appropriate employees. Provides information on routine inquiries. Types letters, reports and other information from rough draft or dictating machine. Maintains files and records and pulls information as requested. Prepares monthly statistical reports. Orders and maintains office supplies for Unit. Maintains calendar and schedule for conference room. Maintains time cards for unit employees.		
13. IF ANY OTHER POSITIONS IN YOUR AGENCY HAVE ABOUT THE SAME DUTIES, LIST TITLES AND NAMES OF EMPLOYEES. THREE ARE SUFFICIENT. None.			

USE EXTRA SHEETS IF NECESSARY

14. LIST DIVISIONS, SECTIONS, UNITS, ACTIVITIES, AREAS, WARDS, ETC. SUPERVISED OR FOR WHICH INCUMBENT IS RESPONSIBLE.

None

15. IF INCUMBENT DIRECTLY SUPERVISES FIVE OR FEWER EMPLOYEES, LIST THEIR NAMES AND CLASSIFICATIONS. IF MORE THAN 5, SHOW THE NUMBER OF EMPLOYEES FOR EACH CLASS.

None

16. DESCRIBE THE AMOUNT AND KIND OF SUPERVISION EXERCISED OVER THIS POSITION; HOW IS WORK ASSIGNED AND REVIEWED?

General office work is assigned by the office manager. Some typing and special reports or projects are assigned by various Unit employees.

17. NAME CLASSIFICATION, AND WORKING TITLE OF IMMEDIATE SUPERVISOR

Secretary 4, Office Manager

18. DESCRIBE THE KIND AND AMOUNT OF CONTACTS REQUIRED

Frequent contact with public and other state agencies

19. WHAT ARE THE TYPE AND FREQUENCY OF DECISIONS REQUIRED AND RESULT OF ERRORS

Errors in information provided over the phone could cause misunderstanding and affect Unit reputation.

20. A. IF JOB REQUIRES TYPING, CHECK HERE % TIME B. IF JOB REQUIRES THE TRANSCRIPTION OF MACHINE DICTATION, CHECK HERE % TIME C. IF JOB REQUIRES THE TAKING AND TRANSCRIPTION OF SHORTHAND, CHECK HERE % TIME

21. LIST ANY MAJOR EQUIPMENT, TOOLS, MACHINES, OFFICE MACHINES OR MOTOR VEHICLES OPERATED ON JOB AND SHOW PERCENT OF TIME

22. WORK SCHEDULE—CHECK MON. FRI. TUES. SAT. WED. SUN. THURS. HRS. PER DAY HRS. PER WEEK HRS. PER WEEK ON CALL

23. WORKING CONDITIONS: DESCRIBE UNUSUAL RISKS, EXERTIONS, OR DISAGREEABLE ELEMENTS

None

24. A. FORMAL EDUCATION REQUIRED FOR THIS POSITION LESS THAN HIGH SCHOOL HIGH SCHOOL BUSINESS-VOCATIONAL SCHOOL SOME COLLEGE COLLEGE GRADUATION GRADUATE STUDY

B. ACADEMIC COURSE WORK AND/OR MAJOR YEARS DEGREE C. SPECIAL TRAINING REQUIRED

25. EXPERIENCE REQUIRED

Two years secretarial experience.

26. SPECIAL SKILLS REQUIRED

Typing and dictating machines.

27. IF RECLASSIFICATION IS REQUESTED, GIVE REASON, AND SUMMARIZE MAJOR CHANGES IN THE POSITION

Reclassification not requested. This position description reflects revisions to reflect current duties and responsibilities.

I HEREBY CERTIFY THAT I HAVE READ THE INSTRUCTIONS AND THAT THE ANSWERS ARE MY OWN AND ARE TRUE TO THE BEST OF MY KNOWLEDGE.

SIGNED *Sally Ann Smith* DATE 9-1-72

DEPARTMENT HEAD OR REPRESENTATIVE: PLEASE ADD ANY COMMENTS, CRITICISMS, OR SUGGESTIONS.

None

TO THE BEST OF MY KNOWLEDGE, THE STATEMENTS MADE HEREIN ARE ACCURATE AND COMPLETE EXCEPT AS NOTED ABOVE. I UNDERSTAND IF THE PROPOSED CHANGE IS APPROVED THE INCUMBENT MUST QUALIFY FOR THE NEW CLASS.

SIGNED (NAME + TITLE) DATE

Name Sally Ann Smith Date 9-1-72
 Position Secretary - Receptionist
 Organization CSD - Staff Development Unit
 Supervisor Trudy Jones

PERFORMANCE STANDARDS FORMAT

This form can be used in conjunction with the position description to set performance standards for regularly scheduled work not included in the work plan.

No.	MAJOR RESPONSIBILITIES	PERFORMANCE STANDARDS	% WEIGHT
1	Mail	Incoming mail distributed by 11:00AM. Outgoing mail ready for pickup by 4:00PM.	10%
2	Receptionist	Courteous and helpful to all visitors.	10%
3	Phones	Answers calls promptly. Courteous to callers. Directs calls to appropriate employees. Answers routine inquiries accurately.	15%
4	Typing	Meets deadlines for letters and reports. Typing is neat and accurate when prepared for distribution outside of Unit.	40%
5	Filing	Files are current and up-to-date	5%
6	Statistical Reports	Reports are accurate and completed by the 10th of each month.	15%
7	Supplies	Office supplies are available whenever needed.	5%

WORK PLAN FORMAT I

NAME: Sally Ann Smith

POSITION: Secretary - Receptionist

DATE: 9-1-72

GOAL NO.	DESCRIPTION OF GOAL	CRITERIA FOR ACCOMPLISHMENT
1	Clean out files. Box for storage anything over two years old.	Files cleaned out by 11-1-72
2	Learn more about services and resources of Unit so more questions can be answered without having to refer callers to other employees.	Percentage of calls referred to other employees to decrease by 50% by 1-1-73
3	Brush-up on shorthand at Salem Business School. Course to be paid for by agency.	Pass 80 word per minute shorthand test by 2-1-73

Complete in Tripartite:
 Original for Department
 Pink Copy for Personnel Division
 and Blue Copy for Employee

STATE OF OREGON
 Executive Department, Personnel Division

REPORT OF PERFORMANCE APPRAISAL

NAME OF EMPLOYEE Sally Ann Smith		STATE AGENCY Childrens Services Division
SOCIAL SECURITY NO. 551-48-5606	CLASS NO. AND TITLE 0012 Secretary 2	SECTION Staff Development
REPORT PERIOD From: 9-1-72 To: 3-1-73	RATING FOR: Trial Service _____ Annual XX Special _____	

(If additional space is needed for comments, you may add extra pages.)

I. **Summary of Major Work Accomplished:** (Summary should include both planned and regularly scheduled work.)

A. Briefly describe the major work done well during this reporting period:

Receptionist and phone duties handled well. Has met deadlines with letters and reports. Monthly statistical reports have been well done.

II. **Evaluation of Performance Under the Work Plan:**

A. Were the major results agreed upon achieved?

Mostly.

B. To what extent and how well was the planned work done?

Two of the three agreed upon goals were achieved very satisfactorily.

C. Were there problems in getting the desired results?

There were problems with one goal.

D. If there were problems in getting results, what actions were taken?

Due to increased demands for typing the goal to clean out the files was not reached. A new goal to accomplish this will be set up for the future.

III. **Evaluation of Performance on Day-to-Day Work not Included in the Work Plan:**

A. Was the major day-to-day work done as expected?

Yes.

B. To what extent and how well was the day-to-day work done?

Very well, no problems.

C. Were there problems in getting the desired results?

No problems.

D. If there were problems, what actions were taken?

No action necessary.

Winter

spray plants,
shrubs & trees

While plants etc
are dormant.

Spring

spray plants,
shrubs & trees

Fertilize plants,
shrubs & trees

Do as early in
spring as
possible weather
permitting.

Re-seed bare
spots in lawns

Should be done
before May.

prepare bouquets
for reception area
of admin. build-
ing.

Fresh bouquets
daily while
flower supply
lasts.

Special project
work with main-
tenance dept.
in rebuilding
greenhouse

Greenhouse should
be ready for use
by Feb. 1, 1973.

Developmental
work with
County Extension
agent to learn
about safe and
suitable pest-
icides for use
on grounds.

During Fall of
'72 before
starting spray-
ing.

WORK PLAN FORMAT II

Employee Donna Duncan
 Working Title Secretary IV
 Manager Duke Ellington

Period of Work July '72 to July '73
 Progress Review Dates Sept. '72
Dec. '72
Mar. '73

Major Work Plans, Assignments and Projects in Priority Order	Agreed Upon Criteria for Accomplishment	Starting Date		Completion Date		Major Accomplishments and Work Not Yet Completed
		Est.	Actual	Est.	Actual	
To clear up the backlog and bring up-to-date all billings and personnel actions.	Bring up-to-date by Sept. 1, 1972	7-1-72		7-1-72		
To write an office procedure manual.	Manual to show examples of how to do P.A.'s, billing, order supplies, pool cars, use copy machines, answer phones, etc.	7-1-72		1-1-73		
Usually, major areas are limited to 5. In addition to direct program objectives, consider indirect but supportive objectives such as personnel development, methods improvement, fire and accident prevention, etc.	What are the results expected in quality and quantity. How will they be measured? Does the subordinate know that this is what he is expected to accomplish? Will he have sufficient manpower and budgetary resources?					For, Situational factors, major position responsibilities not yet assigned, and manager's conclusions, see reverse side.

WORK PLAN FORMAT II

Employee Donna Duncan (Cont)
 Working Title _____
 Manager _____

Period of Work _____ to _____
 Progress Review Dates _____

Major Work Plans, Assignments and Projects in Priority Order	Agreed Upon Criteria for Accomplishment	Starting Date		Completion Date		Major Accomplishments and Work Not Yet Completed
		Est.	Actual	Est.	Actual	
To train selected WIN and NYC referrals in basic office and secretarial skills.	will train 8 girls per year. girls will be able to provide help and support to present office staff.	7-1-72		7-1-73		
Usually, major areas are limited to 5. In addition to direct program objectives, consider indirect but supportive objectives such as personnel development, methods improvement, fire and accident prevention, etc.	What are the results expected in quality and quantity. How will they be measured? Does the subordinate know that this is what he is expected to accomplish? Will he have sufficient manpower and budgetary resources?					For, Situational factors, major position responsibilities not yet assigned, and manager's conclusions, see reverse side.

WORK PLAN FORMAT I

NAME: SANDRA BEATTIE

POSITION: SECRETARY II

DATE: JULY 1, 1972

GOAL NO.	DESCRIPTION OF GOAL	CRITERIA FOR ACCOMPLISHMENT
①	TO DEVELOP A KNOWLEDGE OF THE OVERALL OFFICE PROCEDURES OF THE UNIT.	IS ABLE TO HANDLE BILLS, PERSONNEL FORMS, SUPPLY ORDERS, COPYING AND PRINTING, AND ORDERING MOTOR POOL CARS BY JULY 1, 1973.
②	TO DEVELOP A KNOWLEDGE OF AIR QUALITY CONTROL PROCEDURES.	IS ABLE TO PROVIDE ASSISTANCE TO THE AIR QUALITY CONTROL CLERKS.

WORK PLAN FORMAT II

Employee Fred Kleen
 Working Title Director
 Manager Field Services Division

Period of Work May 1972 to June 1973
 Progress Review Dates December 1, 1973

Major Work Plans, Assignments and Projects in Priority Order	Agreed Upon Criteria for Accomplishment	Starting Date		Completion Date		Major Accomplishments and Work Not Yet Completed
		Est.	Actual	Est.	Actual	
To up-date a backlog of 80 applications for waste discharge permits.	Backlog caught up by 4-73	8-72				
To reduce the time required to investigate complaints.	Reduce time from average of 2 weeks to average of 3 working days by 6-73.	5-72				
Usually, major areas are limited to 5. In addition to direct program objectives, consider indirect but supportive objectives such as personnel development, methods improvement, fire and accident prevention, etc.	What are the results expected in quality and quantity. How will they be measured? Does the subordinate know that this is what he is expected to accomplish? Will he have sufficient manpower and budgetary resources?					For, Situational factors, major position responsibilities not yet assigned, and manager's conclusions, see reverse side.

WORK PLAN PART II

Employee Fred Kleen (cont)

Period of Work _____ to _____

Working Title _____

Progress Review Dates _____

Manager _____

Major Work Plans, Assignments and Projects in Priority Order	Agreed Upon Criteria for Accomplishment	Starting Date		Completion Date		Major Accomplishments and Work Not Yet Completed
		Est.	Actual	Est.	Actual	
To develop operation procedures for the newly formed emergency action team.	operation procedures developed and ready for implementation by 8-72	5-72				
Usually, major areas are limited to 5. In addition to direct program objectives, consider indirect but supportive objectives such as personnel development, methods improvement, fire and accident prevention, etc.	What are the results expected in quality and quantity. How will they be measured? Does the subordinate know that this is what he is expected to accomplish? Will he have sufficient manpower and budgetary resources?					For, Situational factors, major position responsibilities not yet assigned, and manager's conclusions, see reverse side.

WORK PLAN

Form: 629-5-1-3-720.1

Employee: Doug Fir
 Working Title: Forest Officer
 Supervisor: Jennings

Work Period Covered: Dec. 1972 - Dec. 1973
 Review Dates: May 1973
Aug. 1973
Nov. 1973

Goals and Action Required to Accomplish These Goals	Criteria and Accomplishment	Resources Required	Coordination Considerations	Dates	
				Start	Complete
To evaluate present unit protection equipment and develop an equipment improvement plan.	Plan developed by 6-73.	Time	Approval by Jennings	12-72	
To evaluate present maintenance plan for protection roads and develop a new plan to fit future protection needs.	Plan developed by 12-73.	Time	USFS F Forest Industry Landowners	12-72	
To develop a new industrial operation inspection program to avoid duplication of inspection with Forest Practice Act.	Inspection program developed by 8-73	Time	Forest industry, landowners, Environmental Quality Dept.	4-1-73	
To classify all Umatilla County land.	Land classified by 12-73.	Time	Unit Forester, landowners County Classification Committee.	2-1-73	

List in Order of Priority	How will we know when the goal is accomplished? What are the guidelines for accomplishment?	Finances, manpower, equipment, etc.	Who else will be affected or have part in this work	Some dates may be of a continuous nature.
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WORK PLAN

Form: 629-5-1-3-720.1

Employee: Ralph Olson
 Working Title: Draftsman
 Supervisor: Fitch

Work Period Covered: Jan. 1, '73 - Apr. 1, '73
 Review Dates: Feb. '73
Mar. '73

Goals and Action Required to Accomplish These Goals	Criteria and Accomplishment	Resources Required	Coordination Considerations	Dates	
				Start	Complete
To develop a procedure for conducting an inventory of all maps on file.	Procedure developed and approved by supervisor by Feb. 1, '73.			1-5-73	
To inventory and make an alphabetical record of all maps on file.	Inventory to be completed by April 1, '73.			2-1-73	
To develop field edit standards for unit maps.	Write up rough draft for approval of Lucas by April 1, '73.		Review Current edit standards with Sousa	1-5-73	

List in Order of Priority

How will we know when the goal is accomplished? What are the guidelines

Finances, manpower, equipment, etc.

Who else will be affected or have part in this work

Some dates may be of a continuous nature.

WORK PLAN

Employee Roberto Hernandez
 Position Admin. assist.

Period July 1972 to June 1973
 Progress Review Nov '72, Jan '73, Mar '73
 Appraisal Date July 1, 1973

GOALS	MEANS TO ACCOMPLISHMENT	PROGRESS MEASUREMENTS	COMPLETION DATE	REMARKS
To edit and coordinate the publication of Annual District Report.	To Salem for printing by Feb. 1, 1973		Distributed by April 1, 1973.	
To edit and coordinate the publication of Woodland owners guide.	To Salem for printing by Mar. 1, 1973		Distributed by May 1, 1973.	
To up-date administrative manual and distribute copies to all units.	Manual completed and distributed by April 15, 1973.			

WORK PLAN

Employee Roberto Hernandez (cont)
 Position _____

Period _____

Progress Review _____

Appraisal Date _____

GOALS	MEANS TO ACCOMPLISHMENT	PROGRESS MEASUREMENTS	COMPLETION DATE	REMARKS
<p>To Complete fiscal 1974 budget and provide all units with expenditure estimates and actual expenditure data on a monthly basis.</p>	<p>Budget to area office by Feb. 1, 1973. monthly expenditure data provided by end of current month for previous month expenditures.</p>			
<p>To develop an accurate district timekeeping system for any fire situation that develops.</p>	<p>System developed and ready for implementation by 6-1-73.</p>	<p>Develop portable timekeeping kit by 4-1-73. Train timekeepers in use of kit by 6-1-73.</p>		

WORK PLAN: PROGRESS REVIEW AND RECYCLE

EMPLOYEE Lyle Russell PERIOD OF WORK Jan. 1, 1973 to Jan. 1, 1974
WORKING TITLE Asst. Area Supr. PROGRESS REVIEW DATE April 1973
SUPERIOR Dave Fredricks July 1973
PURPOSE/FUNCTION OF POSITION To assist Oct. 1973
the Area Supervisor in supervising all the
functions of the Salem Branch Office, D.V.A.

The following pages ask for you and your superior to sit down in conference and think about your present job now and for the coming year.

Three kinds of responsibilities are explored on the following pages and you and your superior are asked to think through some questions about the plans for your job for the coming year. As a start, you may want to set quarterly objectives.

1. The first worksheet calls for you to define your regular, ordinary, routine, or recurring responsibilities, and to state a criteria for acceptable performance in each area of major responsibility.
2. The second worksheet grows out of your answers to the first and asks you to define two or three present problems you face in your job, and your plan for solving them in the year ahead. List only the two or three that you and your supervisor decide are the most pressing or have the highest priority.
3. The third worksheet asks for your statements on what innovations, changes, or improvements to present conditions you plan to work on or install during the coming year. Again, list only the two or three that have the highest priority.

WORK PLAN: CATEGORY I

<p>List your major ongoing responsibilities below. Include working procedures in this column and not performance standards. List responsibility in any logical order which may be: order of importance, order in which performed, etc.</p>	<p>List the agreed upon criteria for accomplishment. (performance standards) Opposite each responsibility, record the standards which describe fully satisfactory--not perfect--performance, and number each standards to correspond to the responsibility to which it applies (i.e., standards for #1 should be 1a, 1b, etc.) express standards as results desired. Use as many standards as are necessary to reflect fully satisfactory performance.</p>	<p>Progress Review---- Obtain data, and compare actual performance against the criteria. Consider: How well? How much?</p>
<ol style="list-style-type: none"> 1. Act for the Area Supervisor in his absence. 2. Carry out any directives from the Area Supervisor and keep him informed of all processing activity through weekly and monthly reports. 3. Direct and control all phases of Loan Processing and Security Management functions through direct supervision and the Unit Managers. 4. Maintain a constant check of application in process by weekly analysis of weekly statistical reports and preliminary processing control sheets. 5. Maintain a constant review of all processing procedures, training methods and developmental programs for all employees. 6. Ratify Loan Officer's action on Farm and Mobile Home Loan requests. 7. Confer with Urban Appraiser Area Manager as needed regarding items of current concern. 8. Consult with District Representatives as needed regarding items of current concern. 	<ol style="list-style-type: none"> 1a No routine work deferred pending return of Supr. 2a All tasks assigned completed promptly and accurate reports submitted when due. 3a Satisfactory work flow maintained with minimum of errors. 4a Any problem areas spotted and immediate corrective measure taken. 5a Weekly staff and training meeting held. 5b Work plans in effect for all employees. 5c Training and development file established for each employee 6a All loan approval actions taken in accordance with established underwriting criteria. 7a Full cooperation and communications maintained between Valuation and Processing Units. 8a Full cooperation and communications maintained between District Representatives and Processing Units. 	

WORK PLAN: CATEGORY II

List the problems to be solved or special projects to be undertaken.	List the agreed upon criteria for accomplishment.	Starting Date		Completion Date		List the major accomplishments and work not yet completed.
		Est.	Actual	Est.	Actual	
<p>1. Establish work planning for all employees in the Salem Branch Office.</p> <p>2. Develop a work flow pattern that will be compatible with the installation of a word processing center. Also, train Loan Officers and clerical staff as needed in connection with new work flow pattern.</p> <p>3. Increase percentage of applications processed to first action within 10 working days to 70% by May 1, 1973, and to 85% by August 1, 1973.</p>	<p>1a Written work plans in existence for each employee.</p> <p>2a Revision of all correspondence to gain maximum utilization of MTST.</p> <p>2b All Loan Officers trained in use of dictaphone.</p> <p>2c All assigned secretaries trained in use of MTST and transcribing equipment.</p> <p>3a Processing time to first action reports will verify results accomplished.</p>					

WORK PLAN: CATEGORY III

List the innovations or new ideas you plan to work on for the coming year:

1. IDEA: Investigate and implement changes needed to close loans more rapidly.

WHEN: By August 1, 1973.

HOW: Have processing Loan Officers include in their work plans development of procedural changes needed to accomplish the stated goal.

RESULTS: Better service to the veteran and decrease in number of applications in process.

2. IDEA: Involve all Loan Officers in office loan closings.

WHEN: By June 1, 1973.

HOW: Change application assignments to Loan Officers to a straight rotation basis.

RESULTS: Workload will be distributed more evenly and Loan Officers not now closing loans will benefit by gaining additional experience.



1. APPROVED CLASS (THIS BLOCK FOR PERSONNEL DIVISION USE) USE)		CLASS NO 0047	POSITION INVENTORY NO 0580001
RECOMMENDED CLASS Administrative Analyst		3. PRESENT CLASS, IF EXISTING POSITION Administrative Analyst	
4. AGENCY Personnel Division	5. WORK UNIT Training Unit	6. LOCATION (ROOM NO. - BUILDING - CITY) Salem	
7. THIS POSITION IS OCCUPIED BY: (NAME) Ted Trainer		8. WORKING TITLE OF POSITION Training Coordinator	
9. THIS DESCRIPTION IS INTENDED TO SHOW: <input type="checkbox"/> A NEW POSITION <input checked="" type="checkbox"/> CHANGES IN EXISTING POSITION (Revised)		10. THIS POSITION IS <input checked="" type="checkbox"/> PERMANENT <input type="checkbox"/> LIM. DURATION <input type="checkbox"/> SEASONAL <input checked="" type="checkbox"/> FULL-TIME <input type="checkbox"/> PART-TIME	
11. SUMMARY STATEMENT OF THE DUTIES OF THIS POSITION (DESCRIBE IN ONE SENTENCE IF POSSIBLE) Locate, develop, provide, and coordinate a variety of training resources as a service to state agencies.			
12. DESCRIPTION OF DUTIES—NOTE: THIS IS THE MOST IMPORTANT ITEM ON THIS FORM. BE SURE THAT YOU UNDERSTAND THE INSTRUCTIONS BEFORE COMPLETING. SHOW APPROXIMATE TIME SPENT ON EACH DUTY BY PERCENTAGE OF TOTAL TIME, OR HOURS PER DAY, WEEK, OR MONTH.			
TIME	WORK PERFORMED		
	<p>Provide consultation to state agencies to assist them in identifying training needs, establishing training priorities, and locating training resources.</p> <p>Locate resources to meet identified agency training needs and priorities.</p> <p>Develop training programs to meet identified agency training needs and priorities where other resources are not readily available.</p> <p>Coordinate training efforts with other Personnel Division staff, ie., training staff, generalists, public service careers staff, etc.</p> <p>Study trends and developments in training and related areas so the above efforts will be up-to-date and relevant.</p> <p>Evaluate on-going training programs.</p>		
13. IF ANY OTHER POSITIONS IN YOUR AGENCY HAVE ABOUT THE SAME DUTIES, LIST TITLES AND NAMES OF EMPLOYEES. THREE ARE SUFFICIENT. Sam Trainer, Training Coordinator Betty Trainer, Training Coordinator			

USE EXTRA SHEETS IF NECESSARY

PART 1—INSTRUCTIONS
 PART 2—(WHITE)—WORK SHEET
 PART 3—(BUFF)—PERSONNEL DIVISION
 PART 4—(GREEN)—AGENCY (DUPLICATE)

14 LIST DIVISIONS, SECTIONS, UNITS, ACTIVITIES, AREAS, WARDS, ETC SUPERVISED OR FOR WHICH INCUMBENT IS RESPONSIBLE

None

15 IF INCUMBENT DIRECTLY SUPERVISES FIVE OR FEWER EMPLOYEES, LIST THEIR NAMES AND CLASSIFICATIONS. IF MORE THAN 5, SHOW THE NUMBER OF EMPLOYEES FOR EACH CLASS

None

16 DESCRIBE THE AMOUNT AND KIND OF SUPERVISION EXERCISED OVER THIS POSITION; HOW IS WORK ASSIGNED AND REVIEWED?

Work is assigned on a project basis and reviewed against goals and results accomplished.

17 NAME CLASSIFICATION, AND WORKING TITLE OF IMMEDIATE SUPERVISOR

Principal Administrative Analyst, Manager, Training Unit

18 DESCRIBE THE KIND AND AMOUNT OF CONTACTS REQUIRED

Contacts with various representatives of state agencies

19 WHAT ARE THE TYPE AND FREQUENCY OF DECISIONS REQUIRED AND RESULT OF ERRORS

Errors and poor decisions would greatly affect quality of training programs.

20 A. IF JOB REQUIRES TYPING, CHECK HERE % TIME B. IF JOB REQUIRES THE TRANSCRIPTION OF MACHINE DICTATION, CHECK HERE % TIME C. IF JOB REQUIRES THE TAKING AND TRANSCRIPTION OF SHORTHAND, CHECK HERE % TIME

21 LIST ANY MAJOR EQUIPMENT, TOOLS, MACHINES, OFFICE MACHINES OR MOTOR VEHICLES OPERATED ON JOB AND SHOW PERCENT OF TIME

22 WORK SCHEDULE—CHECK MON. FRI. TUES. SAT. WED. SUN. THURS. HRS. PER DAY HRS. PER WEEK HRS. PER WEEK ON CALL

23 WORKING CONDITIONS: DESCRIBE UNUSUAL RISKS, EXERTIONS, OR DISAGREEABLE ELEMENTS

Some travel, may be away from home for several days at a time.

24 A. FORMAL EDUCATION REQUIRED FOR THIS POSITION LESS THAN HIGH SCHOOL HIGH SCHOOL BUSINESS-VOCATIONAL SCHOOL SOME COLLEGE COLLEGE GRADUATION GRADUATE STUDY

B. ACADEMIC COURSE WORK AND/OR MAJOR Bus., Public Admin, or Social Sc. YEARS 4 DEGREE BA C. SPECIAL TRAINING REQUIRED Minimum of 1 year graduate study

25 EXPERIENCE REQUIRED

Minimum 3 years managerial, staff, teaching, or educational administrative experience.

26 SPECIAL SKILLS REQUIRED

Coordinating and administration of programs; instructional skills

27 IF RECLASSIFICATION IS REQUESTED, GIVE REASON, AND SUMMARIZE MAJOR CHANGES IN THE POSITION

Reclassification not requested. The position description is revised to reflect current duties and responsibilities.

I HEREBY CERTIFY THAT I HAVE READ THE INSTRUCTIONS AND THAT THE ANSWERS ARE MY OWN AND ARE TRUE TO THE BEST OF MY KNOWLEDGE.

SIGNED Ted Trainer DATE 7-1-72

DEPARTMENT HEAD OR REPRESENTATIVE: PLEASE ADD ANY COMMENTS, CRITICISMS, OR SUGGESTIONS.

TO THE BEST OF MY KNOWLEDGE, THE STATEMENTS MADE HEREIN ARE ACCURATE AND COMPLETE EXCEPT AS NOTED ABOVE. I UNDERSTAND THAT IF THE PROPOSED CHANGE IS APPROVED THE INCUMBENT MUST QUALIFY FOR THE NEW CLASS.

SIGNED (NAME - TITLE) DATE

ATTACH EXTRA SHEETS IF NECESSARY

WORK PLAN STATE II

Employee Ted Trainer Period of Work 7-1-72 to 7-1-73

Working Title Training Coordinator Progress Review Dates 10-1-72

Manager Mary Manager 1-1-73

4-1-73

7-1-73

Page 1

Major Work Plans, Assignments and Projects in Priority Order	Agreed Upon Criteria for Accomplishment	Starting Date		Completion Date		Major Accomplishments and Work Not Yet Completed
		Actual	Est.	Actual	Est.	
Develop and pilot a 10-week course on performance appraisal incorporating existing as well as new resources.	Course to be developed and implemented by 10-1-72. Student evaluations of course to be acceptable.	7-1-72		10-1-72		Course completed and implemented on schedule.
Develop a list of problems that are expressed during the performance appraisal class in relation to the new performance appraisal system.	Problems to be identified and prioritized by 1-1-73.			1-1-73		List completed on schedule.
Develop a performance appraisal handbook for managers and supervisors to overcome the problems that have been identified.	Handbook ready for printing by 3-15-73 Handbook meets the expectations of the Personnel Division Administrator.			12-15-1972		
Usually, major areas are limited to 5. In addition to direct program objectives, consider indirect but supportive objectives such as personnel development, methods improvement, fire and ident prevention, etc.	What are the results expected in quality and quantity. How will they be measured? Does the subordinate know that this is what he is expected to accomplish? Will he have sufficient manpower and budgetary resources?					For, Situational factors, major position responsibilities not yet assigned, and manager's conclusions, see reverse side.

SITUATIONAL FACTORS,
ACCOMPLISH WORK:

EVENTS OUTSIDE EMPLOYEE'S CONTROL, MAKING IT EASIER OR HARDER TO

MAJOR POSITION RESPONSIBILITIES NOT YET ASSIGNED, LIST IMPORTANT WORK NOT YET ASSIGNED
BECAUSE OF NEWNESS OF EMPLOYEE, TIME LIMITATIONS, PROGRAM EMPHASIS, TECHNOLOGY
DEFICIENCIES, ETC:

MANAGER'S CONCLUSIONS, OVERALL, WHERE DOES THE EMPLOYEE'S WORK STAND? IS IT ON, BEHIND,
OR AHEAD OF SCHEDULE? DOES IT MEET, FAIL, OR EXCEED STANDARDS? HOW DOES THIS EMPLOYEE'S
CONTRIBUTION FIT INTO THE LARGER GOALS OF THE ORGANIZATION?

WORK PLAN FORMAT II

Employee _____

Period of Work _____ to _____

Working Title _____

Progress Review Dates _____

Manager _____

Page 2

Major Work Plans, Assignments and Projects in Priority Order	Agreed Upon Criteria for Accomplishment	Starting Date		Completion Date		Major Accomplishments and Work Not Yet Completed
		Est.	Actual	Est.	Actual	
Monitor affirmative action workshops to identify supervisor training needs in relation to affirmative action.	Training needs are identified and prioritized by 9-1-72.	8-1 1972			9-1-72	List completed on schedule.
Meet with representatives of other states under 4-State IPA grant to develop an affirmative action training package for supervisors.	Training package to be developed by 4-15-73.					
Develop a calendar of inter-agency training opportunities	Calendar to be ready for print by 1-5-73. Calendar to meet the expectations of the Training Unit Manager.	12-1 1972			1-5-73	Calendar printed and distributed to state agencies on schedule.
Coordinate train-the-trainer workshops, as requested, either by direct instruction or by contract.	Student response and staff assessment based on predetermined instructional objectives.	11-1 1972				
Usually, major areas are limited to 5. In addition to direct program objectives, consider indirect but supportive objectives such as personnel development, methods improvement, fire and accident prevention, etc.	What are the results expected in quality and quantity. How will they be measured? Does the subordinate know that this is what he is expected to accomplish? Will he have sufficient manpower and budgetary resources?					For, Situational factors, major position responsibilities not yet assigned, and manager's conclusions, see reverse side.

SITUATIONAL FACTORS,
ACCOMPLISH WORK:

EVENTS OUTSIDE EMPLOYEE'S CONTROL, MAKING IT EASIER OR HARDER TO

MAJOR POSITION RESPONSIBILITIES NOT YET ASSIGNED, LIST IMPORTANT WORK NOT YET ASSIGNED
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CONTRIBUTION FIT INTO THE LARGER GOALS OF THE ORGANIZATION?

WORK PLAN FORMAT II

Employee _____

Period of Work _____ to _____

Working Title _____

Progress Review Dates _____

Manager _____

Major Work Plans, Assignments and Projects in Priority Order	Agreed Upon Criteria for Accomplishment	Starting Date		Completion Date		Major Accomplishments and Work Not Yet Completed
		Est.	Actual	Est.	Actual	
Assist in the coordination of Middle Management Conferences as requested.	Assistance efforts meet the expectations of the conference coordinator	10-1				Assistance provided for Oct. conference. Scheduled to provide assistance for March conference.
Consult with PSC staff on the development of training in selection interviewing.	Training package to be ready for 9-1-73	12-1				
Usually, major areas are limited to 5. In addition to direct program objectives, consider indirect but supportive objectives such as personnel development, methods improvement, fire and accident prevention, etc.	What are the results expected in quality and quantity. How will they be measured? Does the subordinate know that this is what he is expected to accomplish? Will he have sufficient manpower and budgetary resources?					For, Situational factors, major position responsibilities not yet assigned, and manager's conclusions, see reverse side.

SITUATIONAL FACTORS,
ACCOMPLISH WORK:

EVENTS OUTSIDE EMPLOYEE'S CONTROL, MAKING IT EASIER OR HARDER TO

MAJOR POSITION RESPONSIBILITIES NOT YET ASSIGNED, LIST IMPORTANT WORK NOT YET ASSIGNED
BECAUSE OF NEWNESS OF EMPLOYEE, TIME LIMITATIONS, PROGRAM EMPHASIS, TECHNOLOGY
DEFICIENCIES, ETC:

MANAGER'S CONCLUSIONS, OVERALL, WHERE DOES THE EMPLOYEE'S WORK STAND? IS IT ON, BEHIND,
OR AHEAD OF SCHEDULE? DOES IT MEET, FAIL, OR EXCEED STANDARDS? HOW DOES THIS EMPLOYEE'S
CONTRIBUTION FIT INTO THE LARGER GOALS OF THE ORGANIZATION?

CONTINUED

1 OF 2

Complete in Triplicate:
 Original for Department
 Pink Copy for Personnel Division
 Blue Copy for Employee

STATE OF OREGON
 Executive Department, Personnel Division

REPORT OF PERFORMANCE APPRAISAL

NAME OF EMPLOYEE Ted Trainer		STATE AGENCY Personnel Division	
SOCIAL SECURITY NO. 72-093-5701	CLASS NO. AND TITLE 0047 Training Coordinator	SECTION Training Unit	
REPORT PERIOD From: 7-1-72 To: 1-1-73	RATING FOR: Trial Service <input checked="" type="checkbox"/> Annual _____ Special _____		

(If additional space is needed for comments, you may add extra pages.)

I. **Summary of Major Work Accomplished:** (Summary should include both planned and regularly scheduled work.)

A. Briefly describe the major work done well during this reporting period:

Developed and piloted a 10 week course in performance appraisal. Convened affirmative action workshops for state agencies, consulted with local governments and represented Oregon in a 4-State effort to develop an affirmative action training program for supervisors. Prepared the 1973 Calendar for training programs.

II. **Evaluation of Performance Under the Work Plan:**

A. Were the major results agreed upon achieved?

Yes

B. To what extent and how well was the planned work done?

Has met or exceeded all goals in work plan for this time period.

C. Were there problems in getting the desired results?

No.

D. If there were problems in getting results, what actions were taken?

No action necessary.

III. **Evaluation of Performance on Day-to-Day Work not Included in the Work Plan:**

A. Was the major day-to-day work done as expected?

Yes.

B. To what extent and how well was the day-to-day work done?

Has met the demand for a variety of coordinating and consulting duties.

C. Were there problems in getting the desired results?

No.

D. If there were problems, what actions were taken?

No action necessary.

IV. Evaluation of Working Relationships:

- A. What kinds of relationships with other people are important to getting results on this job?
Cooperation and collaboration with other training staff both within the agency and representing other state agencies.
- B. How well did the employe establish and maintain these relationships?
Very well.
- C. If there were problems, has the importance of this been talked over with the employe?
No problems.

V. Employee Development:

- A. List one or more developmental opportunities planned for this employe:
Become more familiar with theory and material used in organizational development.
- B. The following developmental opportunities are being considered for inclusion in a future work plan:
See A above.

VI. Summary Evaluation:

- A. Makes superior contribution in nearly all areas. (Give examples of major innovative contributions to work or organization improvements.)
- B. Meets requirements for all areas, perhaps exceeding some as described below.
In addition to completing work plan goals and meeting the day-to-day demands of the job, Ted has developed a 3-pronged evaluation for training programs that will be implemented soon.
- C. Meets most requirements, but does need improvement in areas listed below.
- D. Meets few requirements and needs improvement in areas listed below.

I have seen a copy of this appraisal and it was discussed with me.

Ted Trainer 1-3-73 [Signature] 1-3-73
EMPLOYE DATE SUPERVISOR DATE

APPOINTING AUTHORITY DATE REVIEWER DATE

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McGregor, Douglas, "The Human Side of Enterprise" McGraw-Hill, New York, 1960

Mager, Robert and Pipe, Peter, "Analyzing Performance Problems" Fearon Publishers, Belmont, Calif., 1970

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Steinmetz, Lawrence, "Managing the Marginal and Unsatisfactory Performer" Addison-Wesley Publishing Co., Reading, Mass., 1969