

* MINUTES OF THE
MEETING OF THE SENATE COMMITTEE
ON GOVERNMENT AFFAIRS

SIXTY-FIRST SESSION
NEVADA STATE LEGISLATURE
February 23, 1981

The Senate Committee on Government Affairs was called to order by Chairman James I. Gibson, at 2:00 p.m., Monday, February 23, 1981, in Room 243 of the Legislative Building, Carson City, Nevada. Exhibit A is the Meeting Agenda. Exhibit B is the Attendance Roster.

COMMITTEE MEMBERS PRESENT:

Senator James I. Gibson, Chairman
Senator Jean Ford, Vice Chairman
Senator Keith Ashworth
Senator Gene Echols
Senator Virgil Getto
Senator James N. Kosinski
Senator Sue Wagner

GUEST LEGISLATORS:

Senator Clifford McCorkle

STAFF MEMBERS PRESENT:

Anne L. Lage, Committee Secretary

SENATE BILL NO. 184

Limits approval of salary increases for classified employees of state based on their merit and fitness.

Senator Cliff McCorkle testified that this bill was exactly the same as the one which passed in the Senate last session. He explained that this bill breaks down performance evaluations into two categories; adequate and proficient. If an employee was determined to be proficient, he would be eligible for a 5 percent increase plus a one time incentive award. If he was judged as adequate, he would only receive a 2½ percent increase. Bonus incentive awards of \$300 would be awarded to people doing proficient work. For those who were ineligible for the 5 percent raise due to the fact that they were at the top of their range, they would be

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eligible for the one time \$600 incentive award.

Senator McCorkle stated that about 36 percent of the state employees were ineligible for any merit increase as they were at the top of their wage range. This money would be paid for out of existing salary allowances already budgeted. Any person classified as adequate would have the opportunity to appeal this decision to a grievance committee.

Senator McCorkle stated that he supported the amendments which Mr. Wittenberg would be presenting. He added that he would like to amend the bill to include an analysis of progress through the pay ranges.

Mr. Jim Wittenberg, Personnel Administrator, explained that similar merit systems have been initiated in many western states. Although there have been no published material to date, reports have indicated that these systems were working well.

Mr. Wittenberg further explained the amendments to the bill which he felt were necessary. See Exhibit C. He testified that the current system stifles incentive, rewards longevity, discourages innovation, encourages mediocrity and does not correlate at all with productivity goals. Mr. Wittenberg stated that most top administrators in state government agreed that this concept was needed.

Mr. Art Boecher, Chairman of the Board of the Greater Reno Chamber of Commerce, testified that the chamber supports the concept of paying people based on their own individual initiative and performance. He stated that last year he hired an independent company to do an attitude survey of his "Sweetheart Cup" plant. An outcome of that survey showed that 79 percent believed it better to award pay in varying amounts based on individual merit and performance. He added that he believed all performance evaluations should be reviewed and discussed with a supervisor one level above to eliminate the possibility of favoritism. Mr. Boecher stated that he had approximately 150 employees working at his plant.

Mr. George Miller, State Welfare Director, testified that he was in support of the concept of the bill. However, he

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felt that if there were below standard employees, they should be terminated if they did not improve. Mr. Miller testified that he did not believe that they were losing people because they were not giving bonuses, but he felt that they would lose a lot more if they gave 2½ percent to standard employees.

Mr. Gordon Harding, Administrator of Central Data Processing, testified that he was a member of the subcommittee which looked at various incentive wage proposals. He was also with Mobil Oil Company for twenty years. He stated that management has lacked the tools to reward good employees. He felt that employees needed an incentive to do a better job. Mr. Harding voiced concern over the appeals section of the bill, stating that it may involve considerable time and paperwork.

Ms. Barbara Durbin, Deputy Chief Parole and Probation, testified that she was a member of the salary, merit increase committee which spent about four months making recommendations. These recommendations were represented in the bill and amendments.

Ms. Durbin stated that she felt there was a morale and performance factor existing now, in that one employee may receive an outstanding rating and a 5 percent increase, while his peer may only receive a standard rating and yet still receive the same 5 percent increase. The 2½ percent raise would be a way to show an employee that there was room for improvement. She also did not believe the appeal should go beyond the appointing authority. She stated that the budget would allow giving the 5 percent increase to all employees deserving it.

Ms. Durbin testified that her agency made use of a documentation log which was referred to when an employee was to be evaluated.

Chairman Gibson questioned Mr. Wittenberg as to who would appropriate the \$75,000. Mr. Wittenberg thought the money would be appropriated by the Administrative Budget Director.

Mr. Bob Gagnier, Executive Director State of Nevada Employee's Association, presented the committee with

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performance evaluation forms of the State of Nevada. See Exhibit D. He stated that these forms were used on all state employees.

Mr. Gagnier testified that ten years ago the State of Nevada had five pay steps. As a device to save money, the budget division increased the steps by three. As a result of 1975 legislation, a 15 percent cost of living adjustment was added, but it did not affect the entry level salaries. At present entry level salaries are behind as much as 25-30 percent, but generally 15 percent. Mr. Gagnier stated that what used to be cost of living increases were now going to be called merit increases.

Mr. Gagnier presented a copy of the State of Nevada, Work Performance Standards and Employee Development Reports. See Exhibit E. He stated that he was in favor of the concept of this bill, but felt a need for better training of supervisors so they would be qualified to evaluate fairly. A better definition of adequate was also needed.

Mr. Gagnier suggested a phase-in program allocating \$10,000 for the first year and \$13,000 for the second. Starting with approximately 150 department and division heads, these people could be trained in the mechanics so they would be qualified to then train others. During the second year he suggested dropping down to include classified employees grade 40 and above. After evaluation by the legislature, if it was felt to be working, the bill could then be implemented in total.

The training should be given in a course by the American Management Association according to Mr. Gagnier.

Mr. Gagnier testified that he felt this new system would stifle creativity because employees would tend to believe that the only way to get a bonus would be to keep management happy. But, if it was to be implemented, it should be done only on an interim basis.

The committee decided to take Senate Bill No. 184 under advisement.

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SENATE BILL NO. 237

Amends airport Authority Act for Washoe County to remove limits upon rates of interest on its obligations.

Senator Kosinski met with Mr. Frank Daykin to discuss the amended version of this bill. The bill should be ready by Tuesday, February 24, 1981.

BILL DRAFT REQUEST NO. 22-230 (S.B. 278)

Amends certain provisions relating to planning and zoning.

The committee agreed to submit this bill draft request for committee introduction.

There being no further business, meeting was adjourned at 4:45 p.m.

Respectively submitted by:

Anne L. Lage
Anne L. Lage, Secretary

APPROVED BY:

James I. Gibson
Senator James I. Gibson, Chairman

DATE: 2/26/81

SENATE AGENDA

EXHIBIT A

COMMITTEE MEETINGS

Committee on Government Affairs , Room 243 .

Day Monday , Date February 23 , Time 2:00 p.m.

S. B. No. 184--Limits approval of salary increases
for classified employees of state based on their merit
and fitness.

Senator McCorkle, Prime Sponsor
Jim Wittenberg, Personnel Administrator
Bob Gagnier, State of Nevada Employee's Association

MEMORANDUM

TO: The Honorable Clifford McCorkle, Senator
Senate Finance Committee

FROM: James F. Wittenberg, Administrator
State Personnel Division

DATE: February 16, 1981

SUBJECT: Senate Bill 184

I would suggest the following modifications be incorporated into SB 184. These recommendations do not substantially change the content nor will they markedly change the effect of the legislation. The changes simply address areas that will create administrative problems if they are not considered. The fewer hang-ups we have with the opposition to this proposal the better.

1. Section 2-4 of the bill provides for regulations to be developed for progression through the rate range including the awarding of special incentive awards. I feel that this provision should include provisions for decreases in pay for employees whose performance is sub-standard. Suggested language is as follows: At the end of the sentence on line 18 on page 1 add the following: "The regulations may also include provision for reductions in pay within the rate range for employees whose performance is sub-standard and who are above the first step in the rate range".

In accordance with the recommendation to include provisions for decreases in pay, the following is suggested: The addition of section 2-6, which would follow line 7, page 2: "A regulation which provides for decreases in the salary range must provide that only employees whose performance has been sub-standard may receive a decrease in salary. The regulation would set forth percentages of decrease allowable, which may not be more than 5% and may not be less than the first step in the salary range."

2. Section 2-5 of the bill provides for an increase of 2½% for "adequate" performance and 5% for "proficient" performance. I can foresee many arguments regarding the definitions of "adequate" and "proficient" performance. The following language would clarify to some degree these terms: After line 7 on page 2 add: "Adequate performance is defined as meeting the majority of the critical work performance standards for the position. Proficient performance is defined as meeting all critical work performance standards for the position in an efficient and effective manner."
3. Section 4-1 of the bill prohibits "proficient" employees from being eligible for an incentive award for an exceptional contribution or effort, completion of an extremely difficult project, etc. I believe a provision should be included to recognize an exceptional contribution or effort or the completion of an extremely difficult project by a proficient or better performer. Suggested revision: Revise section 4-1 on page 2, line 37 through line 43 to read as follows: "1) Special incentive awards, payable as a single amount, may be granted only to employees whose performance during the preceding year has been evaluated as being above a rating of "proficient", or to employees who are performing at the "proficient" level or better and has made an exceptional contribution(s) or effort to the agency or who has completed an extremely difficult assignment or project. The incentive award may be variable according to the actual performance of the employee. A special incentive award may be granted whether or not it causes the compensation of an employee to exceed a limitation which is expressed as a percentage of the compensation of another officer or employee."
4. Section 4-3(s) of the law provides the funding source for incentives from salary savings. While this provision will work well in most cases, I anticipate a few smaller agencies with low turnover will not be able to generate savings to utilize the concept. I recommend that a \$75,000 central fund be established to handle such instances where this may occur.

5. The provision for appeals in Section 5-3 needs to be clarified. Appeals should be provided only for merit salary increase denials and not the incentive awards. In addition, we must restrict appeals regarding 2½% increases and incentive award denials if we realistically want supervisors/managers to take advantage of these provisions. Suggested language is: Revise Section 5-3 starting on line 36, ending on line 41 on page 3 to read as follows: "3) The Chief shall adopt regulations providing for grievance and appeal procedures for any employee who has been decreased in salary, or been denied an increase in salary without being previously advised of his or her performance. The regulations shall exclude provision for appeals relative to incentive awards and 2½% merit salary increases."
6. The provisions in section 7-2 on page 4 contain appeal rights relative to work performance standards. I believe this provision would be counter-productive because we consider work performance standards an important management right. Recommendation: Delete Section 7-2 from the law.
7. A provision which allows incentives for unclassified employees also needs to be considered. We would suggest a system which provides payment based on performance and is directly related to a percentage above or below the base salary established by the Legislature. If management is not under a similar system it will impede administration of the classified plan. Such a plan for managers is as important as the plan for classified employees.

JFW:akb

blcc: ✓ Connie Davis (2)

INSTRUCTIONS FOR THE COMPLETION OF THE EMPLOYEE DEVELOPMENT REPORT (NPD-15)

REFERENCE: The Manual for Completion of Employee Development Report. All attachments are to be in quadruplicate, identified as to employee, signed by all concerned and discussed with the employee.

All appropriate sections are to be completed to provide a record of the specifics of the employee's work performance and related factors. This substantiation will be used to reflect all commendations, employee's development or in extreme cases, subsequent administrative and/or court review.

Section 1-9: Complete in detail, providing the data indicated.

Section 10: THIS IS THE MOST VALUABLE SECTION OF AN EMPLOYEE DEVELOPMENT REPORT as it reflects the supervisor's fair and objective evaluation of an employee's work performance and related factors, provides an opportunity for the supervisor to discuss in detail an employee's work performance and related factors with him, reflects the understanding reached between the supervisor and his employee and provides a written record for future review. Prior to discussing an employee's rating with him the supervisor should review the rating details with his own supervisor.

- A. WORK PERFORMANCE STANDARDS EVALUATION:** Established Work Performance Standards will be used as criteria for evaluating the employee's performance.

Factors and Definitions

Quantity—Used where work output can be measured in units of production. Usually stated numerically and for a definite period of time.

Quality—Used when work output may be expressed in terms of accuracy, appearance of work and the results desired when the job has been completed.

Time—Used where quantity cannot be measured but time limits may be set as a requirement of the work.

Manner of Performance—Manner of Performance should only be used when you cannot state a quantity, quality or time standard. By nature, manner of performance standards are subjective and open to questionable interpretations. Personal characteristics and job knowledge may be used as standards. Avoid general traits such as reliability and cooperativeness in expressing a standard of this kind. Only characteristics not expressed sufficiently clear by the other factors should be included here.

- B. RELATED FACTORS EVALUATION:** In addition to Work Performance Standards there may be other criteria that the supervisor uses to evaluate the performance and efficiency of the employee.

Factors and Definitions

Dependability—The degree an individual can be counted upon to follow oral or written instructions or established procedures.

Cooperation—The degree to which an individual accepts instructions, constructive criticism, maintains harmonious work relationships and self control.

Public Contact—The degree to which an individual is businesslike and cooperative with the general public.

Job Attitude—The degree of sociability and warmth which an individual imparts in his attitude towards others.

Judgment—The degree to which an individual considers all facts leading to a logical conclusion.

Initiative/Creativity—The degree to which an individual seeks out and takes on added responsibility and originates or develops new and better ways of doing things.

Acceptance—The manner in which an individual accepts responsibility or agency decisions.

Alertness—Ability to grasp instruction, to meet changing conditions and problem situations.

Communications—The degree to which an individual is able to express himself clearly in both oral and/or written manner.

Self Control—The degree to which an individual is able to withstand pressure and remain calm when crisis situations occur.

Physical Fitness—The ability to accomplish work assignments.

Attendance—Faithfulness in coming to work daily, on time, and conforming to work hours/breaks.

Personal Appearance—The personal impression an individual makes on others considering cleanliness, grooming and neatness.

Related Factors—Enter factor(s) pertinent to the specific job that are not mentioned above.

Section 11: The supervisor checks the box that reflects his overall evaluation on the employee's work performance and related factors, keeping in mind the five evaluation levels: Unacceptable, Must Improve, Standard, Above Standard and Outstanding.

Section 12: Show effective date of granting permanent status or indicate that the employee is not to be granted permanent status. If not granted permanent status, action to be taken: is to be demoted, dismissed or other action and specify. Employee's overall evaluation by the supervisor must be "Standard" or above, to receive a Merit Salary Increase. Rater(s) signature(s), title(s) and date(s) of ratings and evaluation conference must appear here. Employee's immediate supervisor(s) makes work assignments. If employee's work is closely reviewed by some other person in his organization, that person should participate in the evaluation by attaching an additional signed sheet setting forth particulars.

Section 13: The employee may provide his comments concerning the overall evaluations or a particular aspect of the evaluation and, if desired, request that the agency reviewing officer review the facts. The employee is required to sign here regardless of his acceptance or rejection. In those instances where an employee is not available for signature, or refuses to sign, so indicate in this section. Indicate reason employee is unavailable.

Section 14: Agency Supervisory review (other than rater) indicates agreement or disagreement of either the overall evaluation or particular aspects of the evaluation, and makes comments concerning the appropriateness and methods of processing the report. Agency reviewing officer's signature, title and date of review must appear here.

Section 15: Appointing Authority Review. (Optional)

Section 16: Final Review. (Optional)

NEVADA STATE PERSONNEL DIVISION—EMPLOYEE DEVELOPMENT REPORT
(All attachments must be signed by all parties)

1. Employee.....
Last First M.I. 5A. Date Evaluation Completed.....
2. Social Security No..... 6. Code Number.....
3. Class Title..... 7. Work Address.....
4. Department, Division, Section..... 8. Probationary: First Second Third Other
Agency Account Number..... 9. Permanent: Annual Other
5. Date Evaluation Due.....

10. A. WORK PERFORMANCE STANDARDS EVALUATION: Supervisor(s) must make comments on performance as it relates to established performance standards. (Attach documentation if necessary.)
Date of Standards.....

B. RELATED FACTORS EVALUATION: Supervisor(s) may comment on related factors related to job performance. (Attach documentation if necessary.)

11. EVALUATION SUMMARY:
 UNACCEPTABLE MUST IMPROVE STANDARD ABOVE STANDARD OUTSTANDING
12. I recommend that you be granted permanent status on.....
 I recommend that you NOT be granted permanent status.
 I recommend that you be demoted, dismissed, other action.....
 I recommend that you be granted a Merit Salary Increase of 0% 5%
Signature, title(s) of rater(s)..... Date.....

13. EMPLOYEE COMMENTS: (Optional, use attachments or additional sheets if required): Any comments concerning work performance, overall evaluation or particular aspect of the evaluation may be indicated in the space provided below. Employee must comment if evaluation is below "standard." Agree Disagree Request Review

Employee's Signature..... Date.....
Additional comments may be attached and must be signed by all parties.

14. AGENCY SUPERVISORY REVIEW: Agree Disagree—must comment
Name and Title Date
15. APPOINTING AUTHORITY REVIEW: Agree Disagree—must comment
Name and Title Date

16. FINAL REVIEW (Optional)
Name and Title Date

STATE OF NEVADA

WORK PERFORMANCE STANDARDS

AND

EMPLOYEE DEVELOPMENT REPORTS

1973

**DEPARTMENT OF ADMINISTRATION
STATE PERSONNEL DIVISION
STAFF DEVELOPMENT SECTION
CARSON CITY, NEVADA**

STATE OF NEVADA
DEVELOPING WORK PERFORMANCE STANDARDS
AND
EMPLOYEE DEVELOPMENT REPORTS

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SECTION 1.

INTRODUCTION

This manual has been designed to guide the development of work performance standards, evaluating individual employee performance and development on the job.

Prepared answers to approaches and problem solving are not provided as there isn't just one right or best way to evaluate performance and motivate employee development on the job. However, this manual does give procedures and approaches that should be taken.

Standard, as used categorizing the evaluation of performance, means acceptable and meeting agreed upon work performance standards.

Should you have any questions not answered by this manual, feel free to contact your agency training officer or representative or personnel officer. The Staff Development Section of the State Personnel Division can also be contacted for assistance.

Always remember that a manager's or supervisor's salary grade exceeds that of his subordinates because of the separate and distinct assignments of the person in charge. Among these assignments are the responsibilities for establishing standards, evaluating employee performance and motivating employee development on the job.

SECTION 2.

PERFORMANCE EVALUATION STUDY LIST

1. HF5549.5 Fear, Richard A.
16 The Evaluation Interview: predicting job performance in business and industry. New York, McGraw-Hill. 1958. 288 p. illus. 21 cm.
2. HF5549.5 Kellogg, Marion S.
P35 What To Do About Performance Appraisal, by Marion S. Kellogg. New York, American Management Association (1965) 223 p. 22 cm. (An AMA handbook)
3. HF5549.5 Lopez, Felix M.
16 Personnel Interviewing: theory and practice (by) Felix M. Lopez, Jr. New York, McGraw-Hill (1965) viii, 828 p. illus. 23 c. Bibliography: p. 811-818. Bibliographical footnotes.
4. HF5549.5 Lopez, Felix M.
R3 Evaluating Employee Performance, by Felix M. Lopez, Jr. Chicago, Public Personnel Association (1968) xii, 306 p. illus., forms. 24 cm. Bibliography: p. 287-296.
5. HD21 Mandell, Milton Michael, 1911-
A6 The Employment Interview, New York, American Management Association (1961) 110 p. illus. 28 cm. (AMA research study, 47)
6. U.S. Veterans Administration.
Common Sense About Evaluating and Recognizing Performance. Washington, D.C., Government Printing Office, 1960. 31 pp. VA1.19:5-29.

This study list was compiled by Ann H. Amaral, Public Services Librarian, of the State Library. References cited and others are available from the State Library or through local libraries throughout the State.

SECTION 3.

DEFINITION AND PURPOSE OF THE EMPLOYEE DEVELOPMENT REPORT

The Employee Development Report is a statement in writing which lets the employee know how well he is doing his work, how his work is evaluated in comparison with written established standards of performance and provides a ready reference for the planning of his development.

Every supervisor is continually evaluating the performance and development of his subordinates. He may do it consciously or unconsciously; he may do it informally or by means of a formal procedure. The supervisor cannot avoid this evaluation process and remain

in control of the work situation even if he should so desire. In the state classified service a formal approach using the Employee Development Report is used. As continual evaluation of the performance and development of employees is among the supervisor's main duties, he must do it effectively in order to meet his obligations to the State and his subordinates. The State's greatest investment is in its employees. Supervisors at all levels of service have the responsibility for managing that investment; therefore, they must make wise use of the personnel assigned to them. At frequent intervals, each supervisor is required to make important decisions

concerning the transfer, promotion and other utilization of subordinates and in reaching these decisions he must

rely heavily on the evaluations he has made of his subordinates' performance.

SECTION 4. WHY EMPLOYEE DEVELOPMENT REPORTS ARE COMPLETED

1. To help subordinates develop a greater job understanding and appreciation by letting them know where they stand, by encouraging the continuance of satisfactory work and personal development and discouraging less than satisfactory work.

2. To provide a basis for administering all personnel activities, including merit salary increases.

3. To provide a written summary of all day-to-day and week-to-week, etc., evaluations.

4. To provide a basis for counseling and work planning conferences with employees.

5. To provide a resource document in case of a dispute or hearing.

As a reference in informing everyone concerned of the details of a particular job it is necessary to establish written Work Performance Standards.

SECTION 5. WORK PERFORMANCE STANDARDS

Work Performance Standards are written statements of principal assignments-responsibilities and the results expected by both the supervisor and subordinate when

the subordinate's job is satisfactorily performed under existing working conditions.

SECTION 6. SOME USES OF WORK PERFORMANCE STANDARDS

Work Performance Standards form a solid foundation on which a supervisor and his subordinate(s) can reach a mutual understanding of what is expected in order for the subordinate to be "successful on the job."

Work Performance Standards help supervisors and subordinates alike in the following ways:

● **Basic Staff Development—**

Systematic basis for identifying individual training needs and an aid in evaluating training results.

● **In Motivation and Recognition—**

A demonstrable basis for recommending and supporting performance awards and merit step increases.

Also for identifying inadequate performance and taking adverse action.

● **In Writing Job Descriptions—**

Job analysis for setting performance standards sharpens concept of duties.

Helps maintain currency.

● **Personnel Actions—**

A reasonable reference to support decisions concerning promotions, transfers, demotions and restructuring assignments.

● **In Work Organization and Measurement—**

Aid to job design and distribution of workloads; can also give clues for work simplification and methods improvement.

● **In Recruitment, Selection and Placement—**

Job skill and knowledge requirements against which to match qualifications of individuals and improve manpower utilization.

● **In Human Relations—**

A means to closer understanding between supervisor and employee as to what is expected.

A help in developing job satisfaction and enthusiasm.

● **In Evaluating Employee Performance—**

Measure actual work performance and inform employee where his performance stands—both currently and for regular ratings.

SECTION 7. THOSE WHO SHOULD BE INVOLVED IN DEVELOPING WORK PERFORMANCE STANDARDS

The supervisor has primary responsibility for the process involved in establishing performance standards, but the subordinates must be involved in the initial establishment and periodic updating of standards for their positions. It is essential that standards be mutually developed as the supervisor knows best what the subordinates are supposed to do and the subordinates know

best what they are actually doing. If subordinates are encouraged to participate in setting standards, they have helped establish goals which they will strive harder to attain. The department head has the responsibility for the review and final departmental approval of all Work Performance Standards for his department.

SECTION 8.

APPROACHES TO DEVELOPING WORK PERFORMANCE STANDARDS

The two approaches that can be used to establish Work Performance Standards are as follows:

1. *Composite Standards:* In this method, a list of work assignments for all positions in a commonly used class is made and common standards are set for the class. This method will be used for classes designated by the Personnel Division in cooperation with state

departments as being in common enough usage, either statewide or throughout an agency to warrant the cooperative approach.

2. *Separate Standards:* In this method, a list of work assignments for positions particular to one or very few state agencies is made and separate standards are set for individual positions.

SECTION 9.

HOW TO WRITE PRACTICAL WORK PERFORMANCE STANDARDS

It is easiest to start with the most routine jobs. You will be better able to master more complex problems involved in establishing standards for higher level positions if you learn the basic techniques first.

Setting standards involves: (1) analyzing the job, using the position description(s) (NPD 19) that gives the duties statement of the positions for which standards are to be written; (2) listing only the principal assignments-responsibilities (usually not more than ten will be needed); and (3) reducing to writing ideas as to what is satisfactory performance, or the results on that job for those assignments.

It is important that the language be simple, definite and easy to understand. Do not produce great reams of material that is redundant or complex.

The steps involved in setting standards are:

1. Explain to the subordinates what you are attempting to do and why their cooperation is essential.

2. Ask the subordinate to list the principal assignments of his job and what he believes he must do to have his work accepted by his supervisor. You should not be consulted in the development of his listing until it is completed.

A principal assignment-responsibility is a single identifiable part of the subordinate's total duties and responsibilities. They are the actual operations that make up a position.

3. Without reviewing the employee's listing, you should make a similar listing of each subordinate's principal assignments. Such a listing is made for each position under your supervision. When grouped together, the separate assignments add up to the total job requirements. Explain that you will need a list of the "doing" parts of the job. Words like "processes" or "assists" should be avoided. Action verbs like "types," "inserts" or "computes" should be used. In preparing assignment statements, list principal assignments in logical order. With the subordinate, compare his listing of assignments with yours. Then, agree as to which assignments should be included in a final listing. Review the list of assignments for accuracy and completeness with the employee. Each assignment statement should contain only one significant duty. If you make any changes, dis-

cuss them with your employee and reach agreement before you implement them.

4. Having agreed upon the assignments, you and your employee together should select the significant or principal assignments of the job and list them by number. Do not include minor or temporary assignments or the standards will become too complicated and difficult to maintain.

5. Write the standards opposite each numbered principal assignment. The supervisor should approve standards, but while they are still tentative, the employee should participate to make additions, deletions or revisions he believes are desirable and can be justified. Mutual agreement as to the standards is highly desirable. Therefore, all concerned should attempt to reach a mutual agreement in setting them. The supervisor and subordinates alike may have to defend and justify them.

The standards should be simple, clear and concise. Use the language of the job which is easily understood. You and your employees should have the same idea of what each of the standards means.

You may have thought of a number of reasons why writing job performance standards will be too difficult or too time consuming. This is not so. Remember that Work Performance Standards, if you use them, can make everyone's job much easier.

Cautions that should be considered before developing standards:

1. Do not say or think that written standards cannot be prepared for some jobs. That is the same as saying that the supervisor does not know what he expects of the employee, the employee does not know what is expected of him and that the supervisor cannot evaluate the job being done.

2. It's better to start with the routine jobs but meaningful written standards can be prepared for non-routine, high level jobs when skill has developed in their preparation. Higher level employees are expected to know their jobs and subordinates', regardless of complexities, to the same extent lower grade employees are expected to know theirs.

3. Do not expect all employees to be perfect. A standard should not be so high that it cannot be achieved by competent employees and so low that

everyone reaches them. The standards of performance must be high enough for the organization to accomplish its objectives and low enough for competent employees to reach them. Set up a practical standards, not an unattainable goal.

4. Write standards only on the permanent principal assignments of a position. Temporary, unusual or minor assignments should not add or detract from the continuing position and its importance to the organization.

5. Work Performance Standards relate to the specific work assignments of a job. Do not confuse the assignments with working procedures. For example:

SUGGESTED WAY

Principal Assignments- Responsibility	Work Performance Standards
Orders—calls for items to replenish stock on hand.	Orders are submitted on time: not more than 3 to 5 exceptions during the year. Knowledge of rates of consumption of supplies enable employees to maintain required stock levels. Incomplete orders do not occur more than 3 to 5 times a year.

WRONG WAY

Principal Assignments- Responsibility	Work Performance Standards
Orders supplies according to instructions.	Calls for items to replenish stock on hand.

6. Remember, always work out assignments and related standards for performing them with your

employees. Valuable training will take place as you talk over performance standards.

7. Change your standards if the job changes significantly or write better ones as you go along. Review your standards periodically and revise them—there is nothing inviolate about them. Keep them current and keep everyone concerned advised of changes.

8. Until you have more experience with standards, it might be well to work out your first written standards for positions filled by fully competent employees. If you work with new, partially trained employees, guard against setting your standards to low.

9. Don't wait to use your job performance standards until you have completed them for all the positions under your supervision. Within 30 days you will see areas of great improvement. The standards may show up a poor placement and you may wish to assign an employee to another job. Consider your standards when you are asked to rate employees' performance, recommend changes in procedure, or to prepare training materials. How well employees meet the standards set for their jobs will be a factor you will consider in recommending merit increases.

10. Don't lose sight of your most important goals—to improve your supervision and to develop your employees. All other benefits are secondary.

11. Base your standards on the needs of the position not on the performance of the employee in the job. His work may be above standard or below standard.

12. Make the standard fair so that subordinates can be reasonably expected to reach it.

SECTION 10.

STANDARD PERFORMANCE

As a supervisor it is necessary for you to decide how much and what manner of performance you will require of a subordinate if you are to consider that his performance is "Standard." There is no quantity, quality, or method that will apply to all jobs. Use all sources of information available to reduce the probability of error in judgment in setting standards. "Standard" perform-

ance falls within a range, the limits of which are set by the needs and purposes of your organization. It is the lowest acceptable level of evaluation that must be attainable by competent employees. An employee who satisfactorily completes his probationary period and is recommended for permanent status must have met the work standards for his position.

SECTION 11. EXPRESSING WORK PERFORMANCE REQUIREMENTS

The ways of expressing performance requirements are:

1. **Quantity:** Used where work output can be measured in units of production. Usually stated in a numerical range of units of work in a definite period of time. The range should be sufficiently narrow so that an outstanding employee is not penalized by being grouped consistently with the average, or so that an employee whose performance is evaluated below standard is not consistently rated as satisfactory.

Principal Assignments- Responsibility	Work Performance Standards (How Much)
a. Posts items in general ledger.	200 to 250 items per day are posted.

Principal Assignments- Responsibility	Work Performance Standards (How Much)
b. Opens and time stamps each piece of incoming mail.	200 to 300 pieces of mail per hour are opened and date-time stamped.
c. Files—inserts and withdraws from storage upon request letters, memos, cards, forms and other documents and material.	Material is inserted in files at the rate of 100-150 pieces per hour, for letter size material (8½x11).
d. Sorts—arranges items in a specified sequence for filing or other processing.	50 to 75 copies per hour of letters, reports, etc. (8½ x 11) are sorted.
e. Validates claims.	325 to 375 claims are validated per week.

**Principal Assignments-
Responsibility**

f. Keypunches employment payroll and hours information on punch cards.

2. **Quality:** Used for almost all assignments and may be expressed as accuracy, appearance of work and general results desired when an adequate job has been done.

**Principal Assignments-
Responsibility**

- a. Posts items in general ledger.
- b. Opens and date-time stamps each piece of mail.
- c. Files—inserts and withdraws from storage upon request letters, memos, cards, forms and other documents and materials.
- d. Keeps his men fully informed of the regulations covering the operation of the work camp.

**Work Performance Standards
(How Much)**

100 to 110 cards per hour are keypunched with numeric information.

**Work Performance Standards
(How Well)**

- Errors do not exceed 2 to 3 in 10,000 items posted.
- Errors do not disrupt normal operations.
- Filing errors do not exceed 1/2 to 1 percent on alphabetical or numerical filing.
- Violations of camp regulations by employees due to lack of knowledge of the regulations do not exceed one or two instances a year.

As it is often impractical to maintain a record of work units and errors made, a quality standard of the "error rate" type would be applied by spot checking the activity. An accuracy standard like the following might be used:

Not more than 2 to 4 percent of proposed classification actions changed upon review by supervisor.

Correctness, exactness and completed service can describe the quality of "accuracy." The illustration below can be used where an error rate standard is not applicable:

Decisions on maintenance of equipment are made with sufficient accuracy so that equipment is not out of use for more than 3 days as a result of error in decision.

Where a physical work product is involved, a standard of quality of appearance type may be applied:

Signs are so neatly painted that not more than 1 out of 100 must be redone to be acceptable to foreman.

3. **Manner of Performance:** Personal characteristics, job knowledge, behavior, along with attendance and punctuality may be used as standards. Avoid general traits such as reliability and cooperativeness in expressing a standard of this kind. Only characteristics not expressed sufficiently clear by other factors should be included here. Voice and behavior characteristics are appropriate considerations. An example of this kind of standard is:

Voice is always pleasant and well modulated. Never loses patience.

4. **Time:** Used where quantity cannot be measured but time limits may be set as requirements of satisfactory work.

**Principal Assignments-
Responsibility**

- a. Verifies accuracy of payroll data submitted on personnel action forms (NPD 35) for forwarding to controller's office.
- b. Washes and grooms patient's hair using special solutions if needed.
- c. Prepares short but complete written reports of financial status and vocational diagnosis.
- d. Composes answers to letters and inquiries upon request for routine information.
- e. Reports to supervisor all incidents of malfunctioning of office equipment.

**Work Performance Standards
(When)**

- All work must be completed within the bi-weekly deadline set by the controller acceptance of payrolls.
- Each patient's hair must be groomed daily and washed once a week or as necessary for maintaining good appearance of patient's hair.
- Each report must be completed at least one week after receiving the notice of a proposed vocational program.
- Each request is answered within 2 days of receipt.
- Malfunctions must be reported as soon as they occur.

SECTION 12. FORMAT OF WORK PERFORMANCE STANDARDS

In order to have consistency in contents and appearance the following format is to be used by all supervisors and their subordinates when devising Work Performance Standards:

STATEMENT OF ASSIGNMENTS AND WORK PERFORMANCE STANDARDS

- 1. DEPARTMENT.....
- 2. DIVISION.....
- 3. POSITION CLASS TITLE.....
- 4. CLASS CODE NO.....
- 5. DATE.....(established or revised).....
- 6. POSITION NO.....
- 7. PRINCIPAL ASSIGNMENTS
PERFORMANCE STANDARDS

- 1.
- a.
- b.

- 2.
- a.
- b.
- 3.
- a.
- b.
- 4.
- a.
- b.

- 1. Enter name of employing department if the use of the class is restricted to a particular department. If the class is used by more than one department, enter "composite."
- 2. Enter name of departmental division
- 3-6. Self explanatory.
- 7. The numerical headings identify the principal assignments, listed in descending order of importance, considered on an hour or other unit basis. The alphabetical headings are to be used if the assignment involves more than one activity.

Some employees may perform certain tasks for only

brief periods. If the task is significant enough to be evaluated, such assignment should be prorated by the supervisor for less than unit periods.

The duties of a position usually cover a variety of assignments and require use of more than one measurement.

SECTION 13. WORK PERFORMANCE STANDARDS

The following example in an office setting does not apply to all state clerical positions but is illustrative of a completed statement of principal assignments and Work Performance Standards. This example may not be adapted for official use without study of its applicability to an actual position. The typing standards selected are for a manual typewriter. Where an electric typewriter is used manufacturers recommend a 15 percent increase differential which should be adopted. A 50 line average page is the basis for the typing line quantities given. Such factors as number of interruptions and legibility of source material are to be taken into account in evaluating performance. In addition, allowances should be made for time spent in work preparation, maintaining equipment, breaks and personal time.

STATEMENT OF ASSIGNMENTS-RESPONSIBILITIES AND WORK PERFORMANCE STANDARDS

DEPARTMENT ... Composite... Date ... Est. 10/25/71...
 DIVISION..... POSITION NO.....
 POSITION CLASS TITLE Stenographer-Clerk.....
 CLASS CODE NO. 18.207.....

Principal Assignments-Responsibility	Work Performance Standards
1. Takes and transcribes dictation.	Acceptable transcription completed at the rate of 100-150 lines per hour. Transcription is accurate and in prescribed form.
2. Types (final form and rough draft).	Stationery and supplies are used conservatively. Typing conforms with approved style or format according to prescribed standards. Material is spelled and punctuated correctly. No strikeouts. Established priorities are followed. All deadlines are met with 1-3 exceptions per quarter.
a. Straight copy.	150-175 lines per hour are typed. Supervisor to adjust downward, depending on the number of carbons.
b. Statistical or numerical materials.	75-110 lines per hour are typed.
3. Cuts stencils, duplicates, masters.	125-175 lines per hour are typed.
4. Transcribes machine dictation.	75-100 lines per hour transcribed depending on the amount of information that must be obtained other than on the record by the transcriber. 450 lines per day minimum.
5. Proofs—compares with source item and corrects or marks for correction as necessary.	Proofreading results in perfect copy—exceptions do not exceed one per month. 300-400 lines completed per hour.

Principal Assignments-Responsibility	Work Performance Standards
6. Files—inserts and withdraws from storage upon request: letters, memos, cards, forms and other documents and materials.	Results indicate that the individual is familiar with the methods of filing in use. Filing errors do not exceed 1/2 to 1 percent on routine alphabetical or numerical filing. Properly identified material is produced from active files upon request within 2 to 5 minutes. Material is inserted in files at the rate of 100 to 150 pieces per hour for letter size material (8 1/2 x 11). Completed materials are filed within 8 to 16 working hours under normal circumstances.
7. Prepares mail for distribution.	Knowledge of activities and functions of department personnel results in properly routed incoming mail. 200-300 pieces per hour are opened and date-time stamped.
8. Delivers messages and runs errands.	Follows instructions without unnecessary delays.
9. Acts as receptionist.	Presents well groomed, neat appearance; is appropriately attired. Receives callers in friendly polite manner. Courteous and pleasant voice, cheerfulness and tact exhibited. Knowledge of office personnel, functions and locations sufficient to properly direct callers.
10. Orders—calls for items to replenish stock on hand.	Knowledge of rates of materials enables employee to maintain required stock levels. No item is depleted more often than once in a quarter.
11. Prepares simple reports—organizes existing data and presents it in prescribed form.	Reports are neat, legible and correctly prepared. Meets required deadlines. Supervisor is advised to permit special arrangements when emergency prevents meeting specified deadlines.
12. Composes answers to letters and inquiries upon request for routine information as assigned.	Essential points are covered requiring assistance of supervisor in no more than 5 to 10 out of 100 letters. Letters composed fully meet the letter-writing standards of the office as to format, tone, grammar, spelling, sentence structure and proper business letter-writing principles. Not more than 5 to 10 letters in 100 fail to meet this standard.

SECTION 14. SUGGESTED FACTORS FOR DEVELOPING STANDARDS FOR OCCUPATIONAL GROUPS

Broad occupational factors are designated to provide supervisors with a convenient frame of reference in identifying assignments and establishing standards at all levels. The suggested factors set forth in the listing are generally applicable to positions in the groups listed below and are not intended to be all inclusive:

Low Skilled
Semi-Skilled
Skilled
Non-Supervisory
Supervisory
Professional Non-Research
Professional Research and Development

Factors in addition to those set forth may be considered in analyzing performance requirements; conversely, factors which do not apply should be disregarded or modified.

LOW SKILLED

This category includes positions filled by employees engaged in work requiring muscular effort or who routinely assist more highly skilled workers. Incumbents are not required to have previous training.

1. Production
 - a. Amount of acceptable work to be produced.
 - b. Required rate of completion of work assignments.
 - c. Quality standards to be met by work produced.
 - d. Attention to detail.
 - e. Application of instructions.
2. Maintenance of Equipment and Materials
 - a. Prevention of waste, spoilage or damage to equipment, supplies and facilities.
 - b. Observation of instructions concerning care of state property.
3. Dependability
 - a. Attendance.
 - b. Punctuality.
 - c. Performance during an emergency.
 - d. Observations of administrative rules and regulations.
 - e. Observation of safety rules and measures.
 - f. Compliance with security regulations.
4. Adaptability
 - a. Adjustment to new or changing work assignments.
 - b. Accomplishment of tasks under adverse conditions.
5. Personal Relations
 - a. Cooperativeness.
 - b. Attitude.
 - c. Diligence.

SEMI-SKILLED

This category includes positions filled by employees engaged in work not requiring complete knowledge and

skills of an apprenticeable trade or craft or equivalent such as Truck Drivers or General Mechanic Helpers.

1. Production
 - a. Amount of acceptable work to be produced.
 - b. Required rate of completion of work assignments.
 - c. Quality standards to be met by work produced.
 - d. Attention to detail.
 - e. Application of instructions.
 - f. Application of proper methods and techniques.
 - g. Adequacy of work measured against inspection standards.
2. Maintenance of Equipment and Materials
 - a. Prevention of waste, spoilage or damage to equipment, supplies and facilities.
 - b. Observation of instructions concerning care of state property.
 - c. Maintenance of sufficient supplies and equipment to accomplish task.
3. Dependability
 - a. Attendance.
 - b. Punctuality.
 - c. Performance during an emergency.
 - d. Observation of administrative rules and regulations.
 - e. Compliance with security regulations.
4. Adaptability
 - a. Adjustment to new or changing work assignments.
 - b. Accomplishment of tasks under adverse conditions.
 - c. Adjustment to new methods of operation.
5. Personal Relations
 - a. Cooperativeness.
 - b. Attitude.
 - c. Diligence.

SKILLED

This category includes positions filled by journeymen employees engaged in work requiring the complete knowledge and skills of an apprenticeable trade or equivalent, such as Carpenters, Machinists and Electricians.

1. Production
 - a. Amount of acceptable work to be produced.
 - b. Required rate of completion of work assignments.
 - c. Quality standards to be met by work produced.
 - d. Attention to detail.
 - e. Application of instructions.
 - f. Application of proper methods and techniques.
 - g. Adequacy of work measured against inspection standards.
 - h. Solving new problems on own initiative.
 - i. Performance of any assigned supervisory (work leader) duties.
2. Maintenance of Equipment and Materials
 - a. Prevention of waste, spoilage, or damage to equipment, supplies and facilities.

b. Observation of instructions concerning care of state property.

c. Maintenance of sufficient supplies and equipment to accomplish task.

3. Dependability

a. Attendance.

b. Punctuality.

c. Performance during an emergency.

d. Observation of administrative rules and regulations.

e. Observation of safety rules and measures.

f. Compliance with security regulations.

4. Adaptability

a. Adjustment to new or changing work assignments.

b. Accomplishment of tasks under adverse conditions.

c. Adjustment to new methods of operation.

5. Personal Relations

a. Cooperativeness.

b. Attitude.

c. Diligence.

NON-SUPERVISORY

This category includes non-professional positions which are filled by non-supervisory employees. Included are clerical, secretarial, and administrative staff positions, as well as positions of employees who assist professional personnel but are not required to have a professional background.

1. Production

a. Amount of acceptable work to be produced.

b. Required time for completion of work assignments.

c. Standards to be met by work produced.

d. Attention to detail.

e. Application of instructions.

f. Application of proper methods and techniques.

g. Ability to make decisions.

h. Resourcefulness in devising new work methods.

i. Organization of work.

j. Understanding agency objectives.

2. Maintenance of Equipment and Materials

a. Prevention of waste, spoilage, or damage to equipment, supplies and facilities.

b. Observation of instructions concerning care of state property.

c. Maintenance of sufficient supplies and equipment to accomplish task.

3. Dependability

a. Attendance.

b. Punctuality.

c. Performance during an emergency.

d. Observation of administrative rules and regulations.

e. Observation of safety rules and measures.

f. Compliance with security regulations.

4. Adaptability

a. Adjustment to new or changing work assignments.

b. Adjustment to new methods of operations.

c. Accomplishment of tasks under adverse conditions.

5. Personal Relations

a. Cooperativeness.

b. Attitude.

c. Diligence.

SUPERVISORY

This category includes all supervisory positions. Included are positions such as those filled by supervisors of typists, stenographers, purchasing and store-keeping specialists.

The factors which follow pertain to supervisory duties. If a supervisory position also involves technical non-supervisory duties, performance requirements for those aspects of the job are to be based upon the appropriate occupational guide for such duties.

1. General Management

a. Planning and Organizing

(1) Understanding agency objectives.

(2) Development of plans to meet objectives.

(3) Recognition of problems of management.

(4) Transmittal of instructions to subordinates.

(5) Utilization of available manpower, equipment and materials.

(6) Ability to estimate scope of assignments made to organization.

(7) Application of new ideas to work plans.

(8) Organization of work to permit emergency tasks.

(9) Application of systematic approach and logical reasoning.

(10) Consideration of costs, time factors, and individual effort in organization of work.

b. Production

(1) Improvement in work methods.

(2) Choice of work methods.

(3) Establishment and achievement of qualitative standards.

(4) Establishment and achievement of production goals.

(5) Maintenance of controls to consistently reflect status of work.

(6) Assistance to subordinates to prevent bottlenecks.

(7) Accomplishment of reports on time.

(8) Familiarity with regulations, procedures, standards, etc., which are applicable to work.

2. Personnel Management

a. Selection of personnel.

b. Assignment of projects in consideration of special abilities and training.

c. Homogeneous assignment of work.

d. Development of employees.

e. Promotion or morale.

f. Establishment and adherence to time limits and deadlines.

g. Recognition of work performance.

h. Delegation of authority.

i. Treatment of disciplinary problems.

j. Development of understudies.

k. Establishment and maintenance of performance requirements.

3. Personal Qualities

a. Adaptability

(1) Adjustment to new or changing work assignments.

(2) Adjustment to new methods of operation.

(3) Participation in extracurricular assignments.

b. Dependability

(1) Achievement of commitments.

(2) Adjustment to new or changing work assignments.

(3) Observation of safety rules and measures.

(4) Observation of administrative rules and regulations.

(5) Compliance with security regulations.

(6) Performance during an emergency.

c. Personal Relations

(1) Cooperativeness.

(2) Attitude.

(3) Diligence.

(4) Persuasiveness.

PROFESSIONAL NON-RESEARCH

This category includes supervisory and non-supervisory positions which involve the utilization of professional knowledge and skills except for those involving scientific research or development positions. Included are positions filled by employees such as attorneys, physicians, economists, statisticians and engineers.

1. Comprehension

a. Grasp of intent and significance of assignment.

b. Definition and isolation of specific problems involved in assignment.

c. Recognition of scope and significance of problems.

d. Consideration of relationship of assignment to overall objectives.

2. Work Methods and Results

a. Use of methodical approach in planning work.

b. Estimation of completion date on assignments.

c. Knowledge and application of new developments and techniques.

d. Accurate evaluation of findings.

e. Clarity of written material.

f. Effectiveness of oral presentations.

g. Use of appropriate professional terminology.

h. Application of administrative requirements.

i. Reflection in work product of adherence to existing standards, criteria and applicable professional practices.

j. Completion of reports on time.

k. Observation of safety regulations.

l. Observation of administrative rules and regulations.

3. Personal Relations

a. Cooperativeness.

b. Motivation.

c. Persuasiveness.

d. Attitude.

4. Personnel Management (When applicable refer to appropriate section of the Supervisory Occupational Guide)

PROFESSIONAL RESEARCH AND DEVELOPMENT

This category includes supervisory and non-supervisory positions which involve the application of professional knowledge and skills to scientific research and development projects. Included are positions filled by employees such as mathematicians, chemists, engineers and others who are engaged in research and development work.

1. Comprehension

a. Recognition of the general intent and significance of an assignment.

b. Definition and isolation of the specific problems in assignments.

c. Recognition of scope and significance of problems.

d. Knowledge and recognition of new developments in subject field.

e. Consideration of relationship of assignment to overall objectives.

2. Planning and Conducting Research

a. Application of imagination and ingenuity.

b. Consistent and methodical approach to research and experimentation.

c. Establishment of experimental controls to eliminate result distortion.

d. Planning and application of new techniques, methods and devices.

e. Practical application of theory.

3. Presentation of Findings

a. Substantiation and validation of conclusions.

b. Accuracy of findings.

c. Detail contained in presentation.

d. Completeness of presentation.

e. Clarity of presentation.

4. Personal Relations

a. Cooperativeness.

b. Motivation.

c. Persuasiveness.

d. Attitude.

5. Personnel Management (When applicable refer to appropriate section of the Supervisory Occupational Guide)

SECTION 15. ADEQUACY OF WORK PERFORMANCE STANDARDS

After Work Performance Standards have been completed for a position or positions everyone will probably hesitate at first in using the standards for fear of either having forgotten assignment or having the standards poorly constructed. To overcome this feeling the check list below is to help review completed standard(s). If "Yes" is the answer to the following questions, the statements of assignments and Work Performance Standards are adequate.

1. Is position completely identified?
 - Are work assignments properly stated:
 - in action words?
 - without obscure or indirect phrases?
2. Do assignment lists conform to actual significant work assignments?
3. Do Work Performance Standards, using appropriate means of measurement, clearly and simply state in few words:
 - how well (quality)?
 - how much (quantity)?
 - how soon (time)?
 - in what manner assignment is to be done?

4. Do work Performance Standards omit confusing words or phrases:

- avoid jargon or nomenclature not understandable to all parties?
- Avoid verbose statements of qualifications for employment and operating procedures?

5. Do Work Performance Standards include:

- only necessary words?
- only words or phrases requiring no explanation?

6. Is each principal work assignment covered by a Work Performance Standard?

7. Is the level required reasonable for the work performed to be measured?

- will the level get the work done satisfactorily?
- does the Work Performance Standard leave room for an employee to substantially exceed the standard level?
- will the level allow measurement of unsatisfactory performance?

SECTION 16. SUPERVISOR'S RESPONSIBILITY

A supervisor is a very important part of the management team. As a member of this team supervisors are expected to maintain an effective working group and derive the best results from subordinates' efforts. Therefore, from time to time, supervisors must tell each subordinate:

1. What his job is and what he is to do.
2. When and in what manner he should do it.
3. How much he is expected to do.
4. How well he is expected to do it.

Every employee has a right to guidance and assistance from his supervisor when needed. In addition, he has a right to know where he stands in his supervisor's estimation.

Describing jobs and setting performance standards will clarify supervisors' thinking, and that of their subordinates, about what is involved in each position. Objectivity and consistency being of prime importance, it is highly desirable to eliminate as many extraneous factors as possible in making a judgment concerning a subordinate's work.

These judgments can be clarified and communicated through the use of the Employee Development Report which is a valuable tool in accomplishing these goals. Further, each employee is afforded an opportunity to relate his views for consideration.

SECTION 17. WHEN IS THE EMPLOYEE DEVELOPMENT REPORT FORM USED?

EMPLOYEES HAVING PROBATIONARY OR PROVISIONAL STATUS

1. *Six Month Probationary Period:* For employees serving a six month probationary period, their supervisors shall complete an Employee Development Report at least at the end of the third and fifth months of employment.
2. *Twelve Month Probationary Period:* For employees serving a 12 month probationary period, their supervisors shall complete an Employee Develop-

ment Report at least at the end of the third, eighth and eleventh months of employment.

EMPLOYEES HAVING PERMANENT STATUS

For employees who have earned permanent status, their supervisors shall complete Employee Development Report at least annually during the month prior to each employee's classification date.

Supervisors should complete an Employee Development Report at times other than indicated if it is

desired to make a commendation, take corrective or disciplinary action or, for cause, separate an employee from state service.

Each employee shall be given a copy of the report, prepared by his immediate supervisor, regarding his work performance and development.

SECTION 18. WHO WILL EVALUATE THE EMPLOYEE'S PERFORMANCE AND DEVELOPMENT?

Each employee's immediate supervisor will evaluate his performance and development. If the employee works for more than one supervisor, everyone providing supervision may participate in the evaluation. If the employee's work is subject to close review by someone higher in the organization, that person may evaluate by

the use of an additional signed sheet setting forth particulars and attached to the report after discussion with the employee. In all cases, everyone participating in the evaluation must sign the Employee Development Report.

SECTION 19. WHO REVIEWS THE SUPERVISOR'S EVALUATIONS?

Under usual operating conditions the Agency Reviewing Officer has the responsibility for reviewing all supervisors' ratings. Should an agency's organizational structure or location of positions require additional reviews of a supervisor's evaluation of an employee's performance and development, the depart-

ment head should arrange for intermediate reviews. In these cases the comments and conclusions of the intermediate reviewers should be identified and attached to the original evaluation form after discussion with the employee.

SECTION 20. WHAT ARE THE DUTIES OF THE REVIEWING OFFICER?

No doubt there will be an occasion when an employee does not agree with all or part of the evaluation made by his supervisor. In those instances, the employee may request that arrangements be made for him to discuss his report with the departmental reviewing officer.

After such request has been made by the employee, the reviewing officer will make arrangements for this discussion as soon as possible (within 15 calendar days).

The responsibilities of the reviewing officer include:

1. Thorough efforts to obtain uniformity in the application of standards by the supervisors under his direction.

2. Securing corrective action when bias or a misinterpretation of standards is evident.

3. Making sure reports are completely, promptly, and thoroughly prepared.

4. Discussing the report with the rater, and with the employee when requested, or when otherwise appropriate.

5. Striving to make the rated employee understand and recognize the validity of the rater's markings.

6. Checking the statements made in the comments section to see that the reasons are specific, substantial, and accurate.

SECTION 21.

FINAL DEPARTMENTAL APPROVAL

Only the agency or department head has the authority to make final approval of evaluations.

SECTION 22.

WHAT IS EVALUATED?

The performance of the duties assigned, personal behavior and development of each employee are evalu-

ated for a specific period of time.

SECTION 23.

THE BASIS OF AN EVALUATION

Established written Work Performance Standards that describe assignments and the Work Performance Standards that must be met, under existing working

conditions, to satisfy management are the sole basis of an evaluation.

SECTION 24.

INSTRUCTIONS FOR THE COMPLETION OF THE EMPLOYEE DEVELOPMENT REPORT (NPD-15)

REFERENCE: The Manual for Completion of Employee Development Report. All attachments are to be in quadruplicate, identified as to employee, signed by all concerned and discussed with the employee.

Sections 1-9: Complete in detail, providing the data indicated.

STANDARD EVALUATIONS: With the exception of an employee with probationary status, when an employee's work performance/behavior is evaluated as standard by all concerned this form may be processed in conformance with individual departmental policy and procedures or by just checking the EVALUATION SUMMARY as "standard" with appropriate signatures, titles and dates entered. Details in all other sections are not required but may be provided if the supervisor, employee or agency representative desires to do so. If an employee has probationary status the narrative portion will be completed.

ABOVE OR BELOW STANDARD EVALUATION: All appropriate sections are to be completed to provide a record of the specifics of the employee's work performance/behavior, deviating from the accepted standards. This substantiation will be used to reflect all commendations, employee's development and/or, in extreme cases, subsequent administrative and/or court review.

Sections 10 and 13 are double spaced and lined for either typed or handwritten entries.

Section 10: **THIS IS THE MOST VALUABLE SECTION OF AN EMPLOYEE DEVELOPMENT REPORT** as it reflects the supervisor's fair and objective evaluation of a subordinate's work performance/behavior with him, provides an opportunity for the supervisor to discuss in detail a subordinate's work performance/behavior with him, reflects the understanding reached between the supervisor and his subordinate and provides a written record for future review. **THE NARRATIVE IN THIS SECTION IS BASED ON, BUT NOT LIMITED TO,** the factors

listed below as they relate to actual position assignments. Prior to discussing an employee's rating with him the supervisor should review the rating details with his own supervisor.

FACTORS AND DEFINITIONS

a. **QUANTITY OF WORK**—Volume of work accomplished or produced in comparison with established Work Performance Standards.

b. **QUALITY OF WORK**—Degree work meets established Work Performance Standards.

c. **DEPENDABILITY**—Degree an individual can be counted upon to follow oral or written instructions or established procedures.

d. **COOPERATION**—Degree to which an individual accepts instructions, constructive criticism, maintains harmonious work relationships and self control and works harmoniously with others.

e. **PUBLIC CONTACT**—Degree to which an individual is business-like and cooperative with the general public.

f. **JOB ATTITUDE**—The degree of sociability and warmth which an individual imparts in his attitude towards others.

g. **KNOWLEDGE OF WORK**—Extent of knowledge of current methods, materials, tools, equipment and practices of all phases of his assignments.

h. **JUDGMENT**—Degree to which an individual considers all facts leading to a logical conclusion.

i. **INITIATIVE/CREATIVITY**—Degree to which an individual seeks out and takes on added responsibility and originates or develops new and better ways of doing things.

j. **ACCEPTANCE**—The manner in which an individual accepts responsibility or agency decisions.

k. **ALERTNESS**—Ability to grasp instructions, meet changing conditions and to solve novel or problem situations.

l. **COMMUNICATIONS**—Degree to which an individual is able to express himself clearly in both oral and or written manner.

m. **SELF CONTROL**—Degree to which an individual is able to withstand pressure and remain calm when crises situations occur.

n. **PHYSICAL FITNESS**—The ability to accomplish work assignments.

o. **ATTENDANCE**—Faithfulness in coming to work daily, on time, and conforming to work hours/breaks.

p. **PERSONAL APPEARANCE**—The personal impression an individual makes on others considering cleanliness, grooming, and neatness.

q. **OTHER FACTOR(S)**—Enter factor(s) pertinent to the specific job that are not mentioned above.

In addition to the above, for a supervisory employee, consider his effectiveness in carrying out the following supervisory responsibilities:

- a. Planning and organizing work.
- b. Assigning or delegating responsibility and duties.
- c. Reviewing the work accomplishment of others.
- d. Training and developing subordinate staff.
- e. Providing leadership necessary to implement state policies and procedures.
- f. Developing appropriate budgets and documentation.

Section 11: The supervisor checks the box that reflects his evaluation of the subordinate's work per-

formance/behavior, keeping in mind the three evaluation levels: below standard, standard, above standard.

Section 12: Show effective date of granting permanent status or indicate that employee is not to be granted permanent status or, in other cases, is to be demoted or dismissed. Rater(s) signature(s), title(s) and date(s) of rating evaluation conference must appear here.

Section 13: The employee may provide his comments concerning the overall evaluation or a particular aspect of the evaluation and, if desired, request that the agency reviewing officer review the facts. The employee is required to sign here regardless of his acceptance or rejection. In those instances where an employee is not available for signature, or refuses to sign, so indicate in this section. Indicate reason employee is unavailable.

Each agency shall indicate the review steps for its own use.

Section 14: Agency supervisory review (other than rater) indicates agreement or disagreement of either the overall evaluation or particular aspects of the evaluation, and makes comments concerning the appropriateness and methods of processing the report. Agency reviewing officer's signature, title and date of review must appear here.

The use of the following sections is optional, depending on agency need.

Section 15: Agency head review.

Section 16: Appointing authority review.

Section 17: Final review.

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NPD-15 (Rev 2-76)
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Copy—Personnel Division
Blue—Department
White—Department
Green—Employee

NEVADA STATE PERSONNEL DIVISION—EMPLOYEE DEVELOPMENT REPORT
(All attachments must be signed by all parties)

1. Employee Last First M.I. 6. Code Number

2. Social Security No. 7. Work Address

Class Title 8. Probationary: First Second Third Other

4. Department, Division, Section 9. Permanent: Annual Other

Agency Account Number

5. Date of Report

10. A WORK PERFORMANCE STANDARDS EVALUATION: Supervisor(s) must make comments on performance as it relates to established performance standards. (Attach documentation if necessary.)

Date of Standards

B RELATED FACTORS EVALUATION: Supervisor(s) may comment on related factors related to job performance. (Attach documentation if necessary)

11. EVALUATION SUMMARY:

UNACCEPTABLE MUST IMPROVE STANDARD ABOVE STANDARD OUTSTANDING

12. I recommend that you be granted permanent status on

I recommend that you NOT be granted permanent status.

I recommend that you be demoted, dismissed, other action

I recommend that you be granted a Merit Salary Increase of 0% 5%

Signature, title(s) of rater(s) _____ Date _____

13. EMPLOYEE COMMENTS: (Optional, use attachments or additional sheets if required). Any comments concerning work performance, overall evaluation or particular aspect of the evaluation may be indicated in the space provided below. Employee must comment if evaluation is below "standard." Agree Disagree Request Review

Employee's Signature _____ Date _____

Additional comments may be attached and must be signed by all parties.

14. AGENCY SUPERVISORY REVIEW: Agree Disagree—must comment

Name and Title _____ Date _____

15. APPOINTING AUTHORITY REVIEW: Agree Disagree—must comment

Name and Title _____ Date _____

16. FINAL REVIEW (Optional)

Name and Title _____ Date _____

INSTRUCTIONS FOR THE COMPLETION OF THE EMPLOYEE DEVELOPMENT REPORT (NPD-15)

REFERENCE The Manual for Completion of Employee Development Report. All attachments are to be in quadruplicate, identified as to employee, signed by all concerned and discussed with the employee.

All appropriate sections are to be completed to provide a record of the specifics of the employee's work performance and related factors. This substantiation will be used to reflect all commendations, employee's development or in extreme cases, subsequent administrative and/or court review.

Section 1-9: Complete in detail, providing the data indicated.

Section 10: THIS IS THE MOST VALUABLE SECTION OF AN EMPLOYEE DEVELOPMENT REPORT as it reflects the supervisor's fair and objective evaluation of an employee's work performance and related factors, provides an opportunity for the supervisor to discuss in detail an employee's work performance and related factors with him, reflects the understanding reached between the supervisor and his employee and provides a written record for future review. Prior to discussing an employee's rating with him the supervisor should review the rating details with his own supervisor.

- A. WORK PERFORMANCE STANDARDS EVALUATION:** Established Work Performance Standards will be used as criteria for evaluating the employee's performance.

Factors and Definitions

Quantity—Used where work output can be measured in units of production. Usually stated numerically and for a definite period of time.

Quality—Used when work output may be expressed in terms of accuracy, appearance of work and the results desired when the job has been completed.

Time—Used where quantity cannot be measured but time limits may be set as a requirement of the work.

Manner of Performance—Manner of Performance should only be used when you cannot state a quantity, quality or time standard. By nature, manner of performance standards are subjective and open to questionable interpretations. Personal characteristics and job knowledge may be used as standards. Avoid general traits such as reliability and cooperativeness in expressing a standard of this kind. Only characteristics not expressed sufficiently clear by the other factors should be included here.

- B. RELATED FACTORS EVALUATION:** In addition to Work Performance Standards there may be other criteria that the supervisor uses to evaluate the performance and efficiency of the employee.

Factors and Definitions

Dependability—The degree an individual can be counted upon to follow oral or written instructions or established procedures.

Cooperation—The degree to which an individual accepts instructions, constructive criticism, maintains harmonious work relationships and self control.

Public Contact—The degree to which an individual is businesslike and cooperative with the general public.

Job Attitude—The degree of sociability and warmth which an individual imparts or his attitude towards others.

Judgment—The degree to which an individual considers all facts leading to a logical conclusion.

Initiative/Creativity—The degree to which an individual seeks out and takes on added responsibility and originates or develops new and better ways of doing things.

Acceptance—The manner in which an individual accepts responsibility or agency decisions.

Alertness—Ability to grasp instruction, to meet changing conditions and problem situations.

Communications—The degree to which an individual is able to express himself clearly in both oral and/or written manner.

Self Control—The degree to which an individual is able to withstand pressure and remain calm when crisis situations occur.

Physical Fitness—The ability to accomplish work assignments.

Attendance—Faithfulness in coming to work daily, on time, and conforming to work hours/breaks.

Personal Appearance—The personal impression an individual makes on others considering cleanliness, grooming and neatness.

Related Factors—Enter factor(s) pertinent to the specific job that are not mentioned above.

Section 11: The supervisor checks the box that reflects his overall evaluation on the employee's work performance and related factors, keeping in mind the five evaluation levels: Unacceptable, Must Improve, Standard, Above Standard and Outstanding.

Section 12: Show effective date of granting permanent status or indicate that the employee is not to be granted permanent status. If not granted permanent status, action to be taken: is to be demoted, dismissed or other action and specify. Employee's overall evaluation by the supervisor must be "Standard or above, to receive a Merit Salary Increase. Rater(s) signature(s), title(s) and date(s) of ratings and evaluation conference must appear here. Employee's immediate supervisor(s) makes work assignments. If employee's work is closely reviewed by some other person in his organization, that person should participate in the evaluation by attaching an additional signed sheet setting forth particulars.

Section 13: The employee may provide his comments concerning the overall evaluations or a particular aspect of the evaluation and, if desired, request that the agency reviewing officer review the facts. The employee is required to sign here regardless of his acceptance or rejection. In those instances where an employee is not available for signature, or refuses to sign, so indicate in this section. Indicate reason employee is unavailable.

Section 14: Agency Supervisory review (other than rater) indicates agreement or disagreement of either the overall evaluation or particular aspects of the evaluation, and makes comments concerning the appropriateness and methods of processing the report. Agency reviewing officer's signature, title and date of review must appear here.

Section 15: Reporting Authority Review. (Optional)

Section 16: Final Review. (Optional)

SECTION 25. THE DEVELOPMENT (APPRAISAL) INTERVIEW

The completion of the development interview requires considerable preparation for an involvement by supervisors as this is where the employee's performance and behavior are measured against the established Work Performance Standards.

In those cases where the performances or behavior does not meet the Work Performance Standards, the difference is known as the development gap.

The supervisor's job is to close that gap in order for his work unit to reach assigned objectives. The interview (appraisal) is an evaluation for the purpose of employee development to close the gap.

This formal process should not be confused or substituted for the every day review that is loosely referred to as appraisal as this day-to-day checking on the spot, concerning those things being done incorrectly, and giving instructions is, in part, supervision of the position.

The formalized process of a development interview can be identified in four distinct phrases or steps as follows:

- 1 The identification or check off list with reference to the established Work Performance Standards.
2. Review with higher management.
- 3 The interview or appraisal which is the heart of the matter.
- 4 Follow up of what is to be done after the interview.

In step one, the supervisor identifies those assignments that an employee is doing correctly and those he is doing incorrectly. There are four questions a supervisor should ask himself in order to consider pertinent facts:

1. What is this employee doing well—his strengths? This should be used to help convince the employee to hold onto present strengths and develop others for growth.

2. Where does the employee need help? If an employee can overcome just one major weakness in a year's time, the work unit production will improve remarkably.

3. What are we doing about it? For every weakness there should be agreement as to what is to be done to

overcome it. If an important Work Performance Standard is not being met, it may be necessary to arrange for help from a professional trainer.

4. What is his potential in the job he now holds? This is directly related to any plans developed for the individual employee. Potential for promotion does not come into play here but is a vital consideration in subsequent discussions with higher management and the employee.

The supervisor should always discuss the facts relating to any interview with higher management prior to the actual interview. Thus, the supervisor has the benefit of other viewpoints and, possibly, additional facts not previously known. This important step is often omitted with the supervisor not having the benefit of reviewing progress of his unit in meeting objectives and the employee's contribution at this step, tentative plans for subordinates can be made. Thus, the supervisor is the best informed person as to what is available for subordinates.

The interview, between the supervisor and subordinate, should be conducted privately in a comfortable setting with adequate time for discussion of all points. Employee feed-back regarding strengths, weaknesses and remedial plans is essential.

DON'TS

1. Don't fight standards or pick on interpretations at this step. Standards were developed prior to the interview and if there is a question of adequacy clear-up the matter.
2. Don't just hand or mail the Employee Development Report to an employee for signature.

DOS

1. Do have a personal interview in all instances.
2. Do encourage employee participation.
3. Do up-date Work Performance Standards for future use.

The supervisor should always follow-up in all areas and ways agreed upon in order for the work performance evaluation system to work properly.

**State Personnel Division—Staff Development Section
GUIDE FOR DEVELOPMENT INTERVIEW**

<i>Before</i>	<i>During</i>				<i>After</i>
Consider:	I. State Problem	II. Get employee's reaction	III. Consider suggestions	IV. State plan of action	
Work Performance Standards	(1) Purpose				Initiate action
Facts	(2) Good points	Agree	(8) Poor suggestion	(9) Supervisor's alternate suggestion	Update Work Performance Standards for future use
Probable causes	(3) Weak points	(4)	(6) Doesn't make point	(7) Ask for Emp's Sug.	(10) Take appropriate action
Possible employee actions and reactions		Disagree	(5) Makes point (treat as a suggestion)	Good suggestion	Observe results
Approach you will take				Suggestion requires study	(11) Rain check
					Follow up

SUGGESTED PHRASES—USE YOUR OWN WORDS

- (1) I'd like to talk to you about your job to see if we can help you improve.
- (2) There are some things you're doing (very) well.
- (3) But I'm concerned about these facts
- (4) Do you think I've interpreted the situation properly?
- (5) I'm glad you told me those things; they may change the picture.
- (6) Yes . . . But there are still these facts which need attention.
- (7) Do you have any suggestions as to what we can do?
- (8) I'm sorry, but because of . . . , I don't think that would work.
- (9) Suppose we try . . .
- (10) I'm sure you'll work this out.
- (11) I'll check on this and discuss it with you further.

CHARACTERISTICS OF INTERVIEW SETTING

- Private
- Free of interruptions
- Not supervisor's office or desk
- Not employee's work station
- Comfortable
- Neutral
- Available for time required

SECTION 26.

SUMMARY

To improve work performance and provide for personal development:

- 1 a. The subordinate must know exactly what is expected of him.
- b. The subordinate must know how he is doing.
- c. The subordinate must be able to obtain assistance when and as needed.
- 2 a. The supervisor must work with subordinates

to establish and maintain Work Performance Standards

- b. The supervisor must evaluate subordinates' performance and behavior in comparison with established written Work Performance Standards.
- c. The supervisor must hold interviews to inform subordinates of his evaluation, secure participation, and help them formulate personal development plans.

SECTION 27. DISTRIBUTION OF COMPLETED EMPLOYEE DEVELOPMENT REPORT

Copies of completed Employee Development Reports will be restricted to distribution as follows:

1. Rater (Rough Draft) (Pink).
2. Personnel Division (2 Copies) (Yellow).
3. Department (Blue).
4. Department (White).
5. Employee (Green).