

JOB STANDARDS DEVELOPMENT

Performance Evaluation Standards Development

In the planning/implementation stage the supervisor and employee discuss the standards that will be used to evaluate the employee's performance throughout the performance cycle.

STEP 1: Identify Job Tasks

To ensure that performance standards are job related, you must first analyze the job by breaking it down into its smallest components, called job tasks. The task statement is usually a brief description of an activity. It tells what is to be done, not how it is done. It is usually an action verb and object.

Position Example:

Title	Job Tasks
Fiscal Support Analyst	Asset Management Procurement/Purchasing Accounts Payable ADVA contracts Budget/AOP/Biennial request

Please Note: Be sure to include all job tasks for a ratee (employee). The Office of Personnel Management recommends discussing these tasks with the employees themselves. Accurate information is crucial to achieving success at this and other stages of the performance evaluation process.

STEP 2: Identify Duty Areas

As you complete your list of tasks, you will probably notice that the tasks begin to group themselves into areas with a common theme. For example, tasks dealing with decision-making may stand out. As you identify the duty areas of the position, you will also see that you are defining the major responsibilities of the position. Duty areas are the reason a position exists.

It may be more comfortable for you as a supervisor to begin the process at this step than at Step 1. Please, if you begin by identifying duty areas, do not forget Step 1. If you conscientiously make a list of all of the tasks which comprise each duty area, you may find that one of the tasks listed is really important enough to be another duty area.

If you have identified more than six key duty areas, you may have defined the job too narrowly. If there are fewer than three duty areas you may have defined the job too broadly.

Example:

Job Title	Job Tasks	Duty Areas
Fiscal Support Analyst	Procurement/Purchasing Accounts Payable ADVA contracts Budget/AOP/Biennial request	Asset Management

STEP 3: Identify Performance Indicators

Performance indicators provide a link between the general duty and the specific performance standard. It is a general description of what defines successful performance of the duty area but lacks a quantitative or qualitative description of the level of acceptable performance. A performance indicator may be one or two words, usually an adverb that describes what is important in the performance of the duty area, or it may be a statement that describes what is to be done.

Example:

DUTY AREA (“What?”)	PERFORMANCE INDICATORS (“How?”)
Asset Management	According to directions, within State and Federal Guidelines

Performance indicators are not part of the final standard. However, the use of indicators can help to bridge the gap between the duty area (what is to be done) and the next step: the performance standard (how it is to be done). In order to complete the performance standard the indicator must be converted to something concrete and measurable. For example, “properly” might become “in accordance with Generally Accepted Accounting Procedures”.

STEP 4: Identify Performance Standards

The performance standard describes in specific detail what is considered the satisfactory level of performance. This description allows the rater to identify when an employee exceeds the standard or performs below the acceptable level of performance.

Most duty areas will have one to three standards. Keep in mind that standards and performance indicators are written for duty areas and not for each task. The important thing to remember is that the standards will reflect the results that are expected in performance of the duty area.

The Arkansas Performance Evaluation Plan uses a four-level range of performance categories to rate the employee's actual performance against the expected performance as stated in the standards. The range is shown in this manual and on the rating forms.

Although you are required to write standards only for the "satisfactory" level, if you have trouble determining what that level is, consider writing the standards for the "exceeds" and "above average" levels as well. This will help you identify and communicate your expectations for each level. It will also be helpful in explaining what the employee must do to exceed the fully satisfactory level. In addition, it will be easier to apply the rating scale to the employee's performance at the end of the evaluation cycle.

A performance standard will be:

- measurable and observable
- realistic in terms of the job
- within the employee's control
- expressed in terms of expected results

Standards can be expressed in terms of specific quantities, such as numbers or percentages, or quality measures that include accuracy, judgment, or opinion ratings. If percentages are used, it is important to identify the total universe from which they are chosen, and ensure the field will be large enough to provide an adequate sample of work performance. If a standard can be written with both a quantitative and qualitative measure, it will enable you to obtain a better overall measure of the employee's performance.

A performance standard is composed of three parts:

1. **An activity statement** that tells what is to be done. If there are guidelines or procedures that cover the activities that are to be performed, the activity statement can refer to them, or the specific tasks can be included in the statement.
2. **A qualifier** that describes the fully satisfactory level of performance. This is what the rater will use to compare the employee's actual performance against the expected performance. This is where the performance indicators are turned into something concrete and measurable, i.e. "quickly" becomes within two days of receipt.
3. **A method of monitoring (MOM)** that refers to how and how often the rater plans to observe the employee's work performance. The MOM is used to record the necessary documentation that will be used to determine an overall score at the end of the evaluation period. In order to effectively monitor the employee's work performance, the rater must have a method that is both appropriate and feasible. The intent of this step is not to increase paperwork. In most cases a MOM already exists that can be used to determine how well the employee is performing his or her duties. Monitoring may be conducted on a random or periodic basis. If random monitoring is chosen, be sure to observe work performance over the entire evaluation period. Do not check performance just at the beginning of the evaluation cycle and fail to check performance the remainder

the period. The important thing to remember is that a supervisor cannot wait until the end of the performance evaluation cycle to correct problems. By monitoring performance problems can be identified and the employee can get back on track quickly. Monitoring also helps the rater to reinforce good performance when it occurs.

Types of MOMs include:

1. Reviewing work, either total output or sample.
2. Observing employee work activities.
3. Reading reports, charts, timesheets, work records, logs, etc.
4. Self-reporting on progress by the employee.
5. Surveying other units, the public, or customers or services.
6. Noting and investigating complaints and commendations.

Job Standards with a “Measurement” or Qualifier

The following are examples of "qualifying" sentences. They are not job standards - yet. But a task statement coupled with one of these "qualifier" sentences will make an acceptable job standard. These qualifier statements are simply performance indicators written in a more concrete and quantifiable way. For example, a performance indicator of “accurately” may translate to a “qualifier” of with no more than X errors per report.

Example:

Task Statement:

"Submits monthly APERS reports."

Add:

"H R Analyst ensures complete monthly report is submitted no later than the 9th of the month."

The second sentence or "qualifier" adds a gauge ("complete report"), a timeframe ("per month") and the idea of accuracy. The second sentence, in essence, is part of the supervisor's "measuring tool".

Examples of “Qualifiers” Indicating Accuracy/Quality:

“Supervisor receives X or fewer valid, documented complaints per _____ (month, quarter, etc.).”

“Supervisor notes X or fewer errors per _____ (month, quarter, etc.).”

“The final work product is completed according to instruction with X or fewer resubmissions.”

“Materials are prepared according to _____ (accepted, specified, established, etc.) (guidelines, policies, criteria, instructions, etc.).”

Example of a “Qualifier” Indicating Rate:

“Processed X number of (words, numbers, documents, etc.) per (minute, day, week, etc.).”

Examples:

Title	Duty Area	Performance Standard
Fiscal Support Analyst	Asset Management	Maintain inventory with no more than a 5% error rate at any given duty area during the rating period. MOM – AASIS report, inventory, supervisory review.

Relative Importance

Assign an alpha value to each standard utilizing the following Relative Importance Scale:

A. This function represents the major reason the job exists. It is critical to the performance of the job as a whole and to the accomplishment of department and work unit priorities. In most cases, this function consumes the majority of the employee’s time.

B. This function is essential to the performance of the job as a whole and to the accomplishment of department and work unit priorities. In most cases, this duty will consume a great deal of the employee’s time.

C. This function is important to the performance of the job as a whole and to the accomplishment of department and work unit priorities. However, this duty will not generally consume a great amount of the employee’s time.

PART IV – PERFORMANCE STANDARDS
Relative Importance: A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>
Duty Area:
Standard:
Results:
Comments:
Exceeds Standard <input type="checkbox"/> Above Average <input type="checkbox"/> Satisfactory <input type="checkbox"/> Unsatisfactory <input type="checkbox"/>

As you can see on the form above the “Relative Importance” should be indicated for each duty area and conveyed to the employee in terms of importance of that particular duty area.

MONITORING/DOCUMENTATION

Throughout the evaluation period, the rater will review the employee's work performance according to the MOMs (Method of Monitoring) identified in the performance standards. Since monitoring provides the data by which overall performance is rated, the rater would document the results, then at the end of the evaluation period review the documentation and make an overall evaluation of the employee's performance. The notes are usually kept in the "employee file". The file will contain information that is crucial to job performance and the information will describe performance which meets, exceeds, or falls short of the satisfactory level.

Following are some guidelines for using the employee file:

1. *Be consistent.* Keep documentation on all employees, not on just a select few. Document similar situations on all employees.
2. *Document activities, not attitudes.* Write down actual behavior observed, not how you feel about it.
3. *Make the file accessible but confidential.* Allow your employees access to their individual file but maintain confidentiality from other employees.
4. *Document incidents that describe all levels of performance.* Ensure that all noteworthy activities are documented to give you a complete picture of the employee's performance, both exceptional and unsatisfactory.
5. *Be timely.* Record and discuss the activity as soon as possible after the occurrence.
6. *Be accurate.* Record only the facts; do not include hearsay information or rely on your memory. Do not include opinions. Do not put down what you hear in the coffee room.
7. *Review.* Review the incident documentation prior to the actual performance evaluation.
8. *Do not carry over employee information from one evaluation cycle to another.* In other words, rate your employees on current information, not on notes from past evaluation periods.
9. *Maintain your file.* File documentation that affects a personnel action must be maintained for several years: at least three and sometimes five years. Some class action suits require information that goes back seven years.
10. *A word to the wise from the Attorney General's Office: OVERDOCUMENT.* Keep more than what seems necessary and all information concerning salary and personnel decisions. If an employee transfers or leaves state government, the employee's Official

Personnel File will be maintained by ADVA Human Resources for the required amount of time. If the supervisor has documents that should be included in the Official Personnel File, they should be forwarded to ADVA Human Resources.

11. The official HR file is housed in ADVA-HR. Copies of all disciplinary actions, counseling memos, notes, etc., that lead to disciplinary actions, performance based actions, or any documentation pertaining to discipline, behavior, or performance should be sent to ADVA-HR. Supervisors are also encouraged to maintain their own files on each employee.

12. *Do not keep files from the employee.* Files must be made available for employee review.

13. *It is recommended that you have the employee to sign the file notes* (complaints, written warnings, etc).

14. *This is not a "Gotcha!" system.* Make sure your documentation reflects the complete picture of an employee's performance. If not, you may find yourself trying to defend yourself against accusations of "case-building" on certain employees.

15. *Support documentation* will include specific incidents, instances, and work samples, commendation and complaint letters, noteworthy occurrences, certificates of completion from training programs, and certificates of achievement and merit.

Scoring

The overall rating category is determined by the rating official based on the *relative importance* of each standard.

Relative Importance - Relates to the gravity/weight of the duty area for the job as a whole. We

rate in terms of:

A: Most critical duty to the accomplishment of department and work unit priorities,

B: Essential duty to the accomplishment of the job and work unit priorities,

C: This duty is important to the performance of the job as a whole but does not generally take up a great amount of time.

Overall Rating Examples (Using 6 Duty Area Performance standards)

Critical Areas	Essential Areas	Important
Duty Area #1 = A	Duty Area #3 = B	Duty Area #5 = C
Duty Area #2 = A	Duty Area #4 = B	Duty Area #6 = C

Exceeds Example

Above Average Example

Core Expectations	Number of Duties	Duty Area	Number of Duties	Duty Area
Exceeds Standards	3	#1, #2, #6	2	#2, #5
Above Average	2	#3, #4	3	#1, #3, #6
Satisfactory	1	#5	1	#4
Unsatisfactory	0			

Satisfactory Example

Unsatisfactory Example

Core Expectations	Number of Duties	Duty Area	Number of Duties	Duty Area
Exceeds Standard	1	#6	0	
Above Average	1	#1	1	#6
Satisfactory	3	#2, #3, #4	2	#3, #2
Unsatisfactory	1	#5	3	#1, #4, #5