

DOCUMENT RESUME

ED 111 790

SP 009 482

AUTHOR Goddu, Roland
 TITLE Handbook for Supervision of Personnel in Performance Based Management Organizations.
 INSTITUTION New England Program in Teacher Education, Durham, N.H.
 PUB DATE Sep 75
 NOTE 21p.

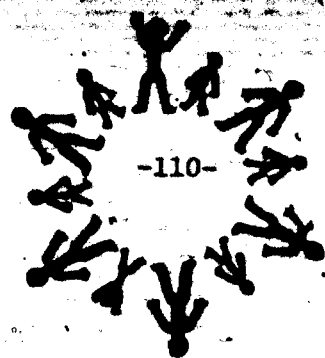
EDRS PRICE MF-\$0.76 HC-\$1.58 Plus Postage
 DESCRIPTORS *Employer Employee Relationship; Guides; *Management by Objectives; *Manuals; *Organizational Development; Personnel Evaluation; *Personnel Management; *Supervision; Supervisors

ABSTRACT

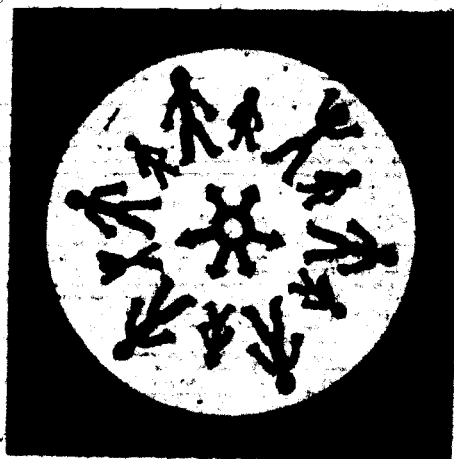
The purpose of this handbook is to provide some tools for supervision which can help the employer and the employee work out expectations, evaluation, and on-going operations. It is divided into four sections entitled (1) Describing Performance Characteristics, (2) Negotiating Outcomes, (3) Negotiating Procedures, and (4) Recording Performance. The handbook presents materials which make it possible for an employee and a supervisor to negotiate simple written agreements. These materials include examples of a rating scale describing performance characteristics, a performance needs analysis document, pre- and post-negotiations sessions checklists, and quarterly reports. These tools make it possible for human dimension to be identified and supported while providing structures for clarifying and specifying organization objectives, the individual employee's role in supporting these objectives, and the supervisor's task of reporting performance in terms of organization requirements.
 (BD)

 * Documents acquired by ERIC include many informal unpublished *
 * materials not available from other sources. ERIC makes every effort *
 * to obtain the best copy available. nevertheless, items of marginal *
 * reproducibility are often encountered and this affects the quality *
 * of the microfiche and hardcopy reproductions ERIC makes available *
 * via the ERIC Document Reproduction Service (EDRS). EDRS is not *
 * responsible for the quality of the original document. Reproductions *
 * supplied by EDRS are the best that can be made from the original. *





**HANDBOOK FOR SUPERVISION
OF PERSONNEL IN
PERFORMANCE BASED MANAGEMENT ORGANIZATIONS**



U.S. DEPARTMENT OF HEALTH
EDUCATION & WELFARE
NATIONAL INSTITUTE OF
EDUCATION

THIS DOCUMENT HAS BEEN REPRODUCED EXACTLY AS RECEIVED FROM THE PERSON OR ORGANIZATION ORIGINATING IT. POINTS OF VIEW OR OPINIONS STATED DO NOT NECESSARILY REPRESENT OFFICIAL NATIONAL INSTITUTE OF EDUCATION POSITION OR POLICY.

Prepared by:

Roland Goddu, Director

**New England Program in Teacher Education
Pettea Brook Offices, Durham, N. H.**

September, 1975

ED 1795

ERH 6009 412

INTRODUCTION

Supervision of personnel tends to be the last thing that managers are trained in. On the other hand, persons in organizations are most interested in how they will be evaluated, by whom, under what conditions. Human relations training tends to increase the awareness of all parties about this issue, it offers a few solutions. Formal procedures for working out supervision tend to be left for individual agreement rather than publicly negotiated. The purpose of this handbook is to provide some tools for supervision which can help the person in a system and their manager work out expectations, evaluation, on-going operations.

The handbook is divided into four sections:

- (1) Describing Performance Characteristics
- (2) Negotiating Outcomes
- (3) Negotiating Procedures
- (4) Recording Performance.

1. DESCRIBING PERFORMANCE CHARACTERISTICS

Most organizations have job descriptions which describe in some formal way the roles and responsibilities of persons in a given role. Reality tells us that these formal boundaries tend to contain activity in what is legal, or normal, or permissible. Reality tells us also that persons selected to fit a job description are reviewed in terms of certificates and formal background. Vital organizations blur over the boundaries of a job description to allow them to select persons with the experience and informal characteristics they seek. Organizations interested in performance and productivity find other position characteristic tools useful. These documents used for finding and selecting persons tend to have the following components:

- what knowledge is needed (cognitive)
- what attitude is needed (affective)
- what skills are needed (experience)
- what special characteristics are needed (other)

A sample of such a rating scale is:

SELECTION FOR PERSON
TO DEVELOP FIELD RESPONSIVE PROGRAMS

1. Cognitive

- understanding of need responsiveness 1 2 3 4 5
- ability to analyze complex interrelations 1 2 3 4 5
- ability to report objectively 1 2 3 4 5
- ability to design alternative solutions 1 2 3 4 5
- other

2. Affective

- concern for involving others in decisions 1 2 3 4 5
- concern and skill in open communication with all constituencies 1 2 3 4 5
- values divergent objectives 1 2 3 4 5
- values divergent mechanisms 1 2 3 4 5
- values systematic change 1 2 3 4 5
- patient 1 2 3 4 5
- other

3. Experience

- in political negotiations 1 2 3 4 5
- in power environments 1 2 3 4 5
- in program development 1 2 3 4 5
- in managing complex project 1 2 3 4 5
- in collecting and organizing diffuse information 1 2 3 4 5
- other

4. Other

- tolerance for ambiguity.
- personal 1 2 3 4 5
- role 1 2 3 4 5
- organizational 1 2 3 4 5
- need for task completion
- by self 5 4 3 2 1
- by group 1 2 3 4 5
- by deadline 5 4 3 2 1

Using such an instrument for staff selection makes it possible for interviewers to stress the special needs of the job rather than the normal character of the role. In so doing the staff person begins to project expectations of productivity and style which a job description does not provide. The interviewer also begins to set the pattern for negotiation of outcome rather than negotiation of relationship.

Developing Performance Characteristics Scale

The development of the performance characteristic scale is itself an activity which requires persons in an organization to analyze what particular direction they expect the organization to develop toward. Agreeing on what abilities are needed rather than who the person will report to and how the job will be done, reinforces in the organization the examination of mission and objectives and the design of the staffing to meet these needs.

The process for developing scales is straightforward

1. The individual or team needing additional staff describes the outcomes or objectives that need to be more effectively realized.
2. The decision group agrees that the organization mission will be better served by more effectively reading these objectives.
3. The individual or team making the original requests prepares a Draft Performance Characteristic Scale. The group should indicate:
 - (a) abilities, attitudes, experience essential to the job;
 - (b) special styles of working which would be desirable;
 - (c) abilities, attitudes, experience are also desirable;
 - (d) special conditions or constraints which effect the job;
 - (e) the one or two major problems to be handled in the job. These can range from an attitude the person must have to a situational variable the person must be able to handle, for example, 3 year commitment as distinct from responsive to constituents.
4. The individual or team prepares the Performance Characteristic Scale. The final draft should have no more than five characteristics in each category: cognitive, affective, experience and no more than three in other. Other should include the one or two major problems to handle stated in solution terms, e.g., tolerance for ambiguity in a situation where more than one authority must act or decide.
5. Review and approval of characteristics scale by decision body.
6. Utilization of scale for interview process.
7. Review of rating scale with selected employee as beginning for discussion of assignment, role, responsibility.

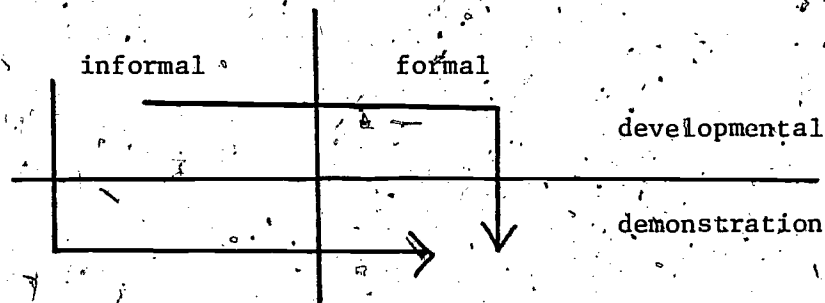
Usually this process occurs as the new employee discovers expectations and visions of his or her role which make real the informal and formal expectations of the organization.

2. NEGOTIATING OUTCOMES

Most organizations develop mission statements and objectives which are assumed to be understood and accepted by all members of the organization. Such formal statements tend to neglect the distinction between ideal expectations and real outcomes. As a result, supervisors and employees tend to develop arrangements

which produce the paper the organization wants ideally and the documentation that protects them in the real world. They usually take into account the need to move program across the following grid, usually from informal developmental to formal demonstration. One usually moves an idea to a program by starting, at the informal, that is the not an integral regular part of the organization stage. The first organization action is to approve a pilot project which is an developmental activity. Installation of the project as a formal part of the organization requires acceptance by the organization that the idea is demonstrated effective. To move a project from idea to program requires moving the people and the mechanism; the people need to move from informal developmental to formal demonstration, the mechanism from informal developmental to informal demonstration to formal demonstration.

Table A



Thus the installation movement is not diagonal but dual.

Since a person joining an organization needs to understand their function in developing programs for the organization it is useful for the supervisor and the employee to discuss what status the program the employee will be with has in the organization.

One procedure for doing this is to discuss the Performance Characteristics Scale in the context of the formal-informal, Developmental-Demonstration grid, and in terms of outcomes to be reached in the next year or six months. Specifying the character of the organization and the specific objectives of a given person and (and agreeing on these) makes it possible for the employee and the supervision to analyze norms and expectations. Usually two documents develop:

- (1) a statement of objectives;
- (2) a revised statement of performance characteristics.

The statement of objectives (or outcomes) should specify:

- (1) Audience to be affected (served);
- (2) Behavior to be exhibited by audience;
- (3) Conditions or constraints that apply;
- (4) Degree of acceptable outcomes: minimal - realistic + maximal.

3) Developing an objective is as simple as A, B, C, D, E.

ELEMENTS OF A PERFORMANCE OBJECTIVE

Audience: who will be affected

Behavior: what will they have to do

Conditions: what resources, constraints exist or need, to be available to change behavior

Degree: how much needs to be accomplished - minimum, realistic, maximum

Evaluation: how will you know it happened

Objective/Outcome



This statement of objectives can be developed by the supervisor or the employee. It is best developed jointly. In either case, much discussion should focus on clarifying the conditions and constraints which will affect outcomes and performance. Clarification should be reflected in a more precise behavior statement and degree statement. Usually perception of role and responsibility by the doer (employee) is more precise if the behavior to be reached is clarified. Usually perception of role and responsibility of the control (supervision) is more precise if the degree of outcome is clarified.

The revision of the statement of performance characteristics (performance needs analysis), can also be done individually or jointly. In either case the important modifications should be in:

- (A) what abilities, attitudes, experience need to be gained by the doer to get the job done;
- (B) what abilities, attitudes, experience need to be provided by the organization to get the job done.

PERFORMANCE-NEEDS ANALYSIS DOCUMENT

Objectives/Outcomes

Activity

Person
Responsible

Training
Need

Resource
Need

Activity	Person Responsible	Training Need	Resource Need

Objective/Outcome

Person(s) Responsible:

Management _____

Key Activities _____

Relation to other components _____

Decisions _____

Documentation _____

Dollar Allocation from General Budget

Materials and Supplies _____

Travel _____

Reports and Products Expected

Date

Approved by: Signature _____ Date _____



EVALUATION FOCUS ANALYSIS

OBJECTIVE/OUTCOMES

Activity

Person Responsible

What will be Evaluated
by Supervisor

Lined area for Activity

Lined area for Person Responsible

Lined area for What will be Evaluated by Supervisor

The characteristics to be gained by the doer can be acquired by formal training or by on the job experience. In either case, the supervisor needs to provide a mechanism by which the doer consolidates learning and relates this back to the job. The characteristics to be provided by the organization can come in the form of consultants, resource persons, staff re-assignment, dollar allocation, etc. The supervisor needs to develop a mechanism (cf Control Sheet) which requests and delivers these resources and tracks their effect on getting the job done.

Finally, the employee and the supervisor should jointly agree on the focus of the evaluation on each activity or outcome. While a mature organization and relationship will tend to discuss these in terms of outcomes only, experience in large systems indicates that an activity by activity listing of evaluatables is helpful and often functional. Sometimes such an analysis provides the opportunity to discover disfunctional activity or critical activity which serves larger organizational needs than was first visible. These later activities tend to be recording and reporting type activities, and form the basis for the formal communication system.

3. NEGOTIATING PROCEDURES.

One of the major concerns of individuals in subordinate roles in an organization is how do I tell what I will be judged on or how do I tell what I will judge on. Many large organizations tend to assume that a supervisor will apply a set of norms and criteria which exist in a personnel manual. Experience in an organization tells the employee and the supervisor that these forms are vague, confusing, and focus on many things which don't really indicate quality of performance. In addition, many supervisors and employees believe in democratically arrived at standards and criteria statement. Formal evaluation forms tend to at least seem authoritarian and be perceived as requiring authoritarian information.

Much experience in organizations indicates that one needs as employees to have clear, written, consistent standards and norms which are mutually acceptable to the employees and supervisor. The task then becomes one of:

- (a) developing a democratic mutual procedure;
- (b) developing forms to record performance.

Many supervisors are uncomfortable with their ability to act democratically in a situation where they have more ultimate power than the employee. Many are uncomfortable with the potential variation of forms and norms which individual negotiations will lead to. One approach to development of format and process which assures some standardization is to follow a consistent framework. The following are examples of frameworks for negotiating procedure and frameworks for negotiating formats.

Prior to reviewing objectives, the subordinate and the supervisor, they should ask themselves the following questions:

1. Pre-Negotiations Session Checklist

- A. Has a date been set to discuss, face to face, the analysis of the objective? yes no
- B. Do the employee and supervisor have a copy of the performance objectives? yes no
- C. Has the supervisor briefly discussed the subordinate's objectives with his/her supervisor? yes no
- D. Has the supervisor negotiated his/her performance objectives with his/her supervisor? yes no
- E. Are the persons filling out this checklist the same persons who will discuss the analysis and evaluate performance? yes no
- F. Has time been set aside for an end of the period review? yes no

If you have checked any item in the "no" box, you have set up conditions which will minimize the effectiveness of the negotiation process.

Correct it before you proceed further.

II. ANALYSIS

During the negotiation session the employee and supervisor should discuss the following:

- A. Is the balance between normal and innovative objectives reasonable?
- B. Do the objectives relate to the organization objectives?
- C. Do the objectives represent a reasonable workload, i.e. are they attainable with effort?
- D. Do the objectives reflect realities such as obstacles, emergency and routine duties?
- E. Do the objectives show the relationship between this individual and others from who cooperation is required if attainment is to be achieved.
- F. Do the objectives set clear areas of responsibility when two or more people are working in similar areas or between the superior/subordinate?
- G. Do the objectives stress priority areas?
- H. Do the dates for accomplishing the objectives reflect reality?
- I. Do the objectives clearly identify the:
 1. target audience
 2. behavior expected of that audience in as specific and quantifiable terms as possible
 3. Conditions which have to be met by the organization before objective can be achieved
 4. the degree of success stated as a range showing minimal real and maximal success levels
 5. evaluation procedures
- J. Is the cost of reaching the objective clear?
- K. Is the cost reasonable in terms of the benefit to be obtained?
- L. Do the objectives reflect awareness of activity in the major areas of:
 - communicating
 - consulting
 - controlling
 - securing
 - participating
 - evaluating
 - disseminating
- M. Is there agreement about what outcomes will be reached and how they will be evaluated?

III. POST NEGOTIATIONS CHECKLIST

After the negotiations analysis session has been completed the assessment checklist should be completed and signed by the parties involved. The following format can be used to summarize agreements. The Degree of Success column should be completed as the activities are undertaken to indicate: begun, on-going, near completion, completed. It may well be that even the first report would indicate the objective as on-going or nearing completion particularly in areas where the organization has already been active. Again, this is reason for a clear and frank discussion between doer (employee) and manager (supervisor).

ASSESSMENT OF INDIVIDUAL OBJECTIVES

NAME _____

DATE _____

OBJECTIVE	OUTCOMES	DEGREE OF SUCCESS IN REACHING OBJECTIVES	FACTORS OF INFLUENCE

SUMMARY

Number of objectives projected to be met by this date _____

Number of objectives actually met _____

Name Supervisor

Clearly these procedures assume:

1. mutual interest in agreement and trust that the agreement can be implemented mutually;
2. acceptance that employee and supervisor will focus on the important not all the details;
3. clarification of organization mission and specific role in development of organization goal will be developed by successive approximation;
4. respect for autonomy and personal freedom of individuals in an organization;
5. tolerance of rules and regulations modification by practice rather than vice versa.

The procedures also assume that supervisors are willing to exhibit:

1. rewards for accomplishing outcomes rather than personality compatibility;
2. confusion when understandings become divergent;
3. patience in accomplishing outcomes;
4. persistence in accomplishing outcomes reports rather than activity reports;
5. protection of agreement from and with his/her superiors;
6. concern to provide early warning signals and resources for accomplishing objectives.

4. RECORDING PERFORMANCE

Reporting on practice is the major link between an employee and supervisor. These reports tend to be informal and impressionistic from the employees point of view. The supervisor often because of pressure from their vision of their organization responsibilities have a need for formalizing records of employee practice. If these come only from the supervisor the records tend to be challenged as imposed, limited in scope, based on unclear criteria. Performance reporting is facilitated by the agreement by the supervisor and employee on simple reporting procedures which emphasize:

1. focus on outcomes and productivity;
2. modifications made or needed based on actual experience;
3. critical incidents that influenced outcomes.

The quarterly review session should be held at a time convenient to the employee and the supervisor. The session should be held only if the quarterly report has been read by both parties in advance. The content of the quarterly session should be the following:

- (a) Does the activity still support the organization mission? Has the organization mission been modified? If so, how?
- (b) What additional resources, abilities, attitudes, skills, etc., are needed to keep progress at an acceptable level?
- (c) What decisions need to be made to keep progress at an acceptable level?
- (d) Is the employee still the appropriate person to carry out this assignment?
- (e) What new agreements have been reached? How do they affect the existing objectives/outcomes agreement (cf Control Sheet)?

The focus of the review should be the discrepancy between projected outcomes and actual productivity.

The components of a simple performance reporting system includes:

1. Monthly record of outcomes;
2. Quarterly report of activity;
3. Quarterly review session between employee and supervisor.

The monthly record of outcomes should answer four basic questions in outcome terms:

- A. What has happened;
- B. What has not happened;
- C. What has been changed;
- D. What needs to be changed which requires formal approval.

The quarterly report of activity should report progress by objective or project. In short one line declarative sentences.

Quarterly Report

Objective

Activity Completed

1. _____
2. _____
3. _____
4. _____
5. _____

Activity Projected

1. _____
2. _____
3. _____
4. _____

General Comments

Name _____ date _____

Conclusion

Supervision of persons is a complex undertaking. It requires concern for human dimensions and Organization Expectations. This handbook presents some materials which make it possible for an employee and a supervisor to negotiate simple written agreements which make it possible for human dimension to be identified and supported while providing structures for clarifying and specifying Organization Mission, objectives, the individual employees role in supporting these, and the supervisors domain is reporting performance in terms of organization requirements.

Selected Bibliography

1. Goddu, Roland, "Supervision of Personnel", NEPTE Staff Working Paper, Durham, New Hampshire, Summer 1975.
2. Maier, Norman R. F., "Three Types of Appraisal Interview", Personnel, vol. 54 no. 5, pp. 27-40, March-April 1958.
3. Schwab, Donald R., and Cummings, Larry L., "Theories of Performance and Satisfaction: A Review", Industrial Relations, vol. 9 no. 4, pp. 408-430, October 1970.
4. Strauss, Paul S., "The Rating Game", Personnel Administration, pp. 44-47, Jan-Feb 1969.
5. Wiles, Kimball, Supervision for Better Schools, Englewood Cliffs, N.J., Prentice Hall, 1967.
6. Wilson, L. Graiz et al, Sociology of Supervision, Boston: Allyn and Bacon, 1969.