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A Prototype Model of a Group Home Personnel Policy (Expanded Master's Degree Thesis, an ACHE Fellow Project)

John C. Griffith, *United States Air Force*

A Prototype Model of A Group Home Personnel Policy

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By:

Major John C. Griffith, Ph.D., CHE

Chief, Medical Contracting Branch

Air Force Medical Support Agency

Office of the Surgeon General

Brooks AFB TX 78235-5217

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PREFACE

The problem examined in this project centered on developing a transferable methodology for the creation and implementation of personnel policies in organizations whose polices are inadequate or do not exist. Many grass-root organizations do not have effective personnel policies that encourage employees to enhance organizational performance. Yet, grass root organizations, such as "group homes" for the mentally and physically disabled, provide very effective care and habilitation to residents at a fraction of the cost of large state run facilities. Such was the situation with a group home system that I had the privilege of working with. The care of the residents was directly related to the effective management of the organization, which at the time, was inadequate by any standard.

This project was completed to satisfy two major goals. First, to research, develop and implement an effective set of personnel policies in the group home studied. Second, to formulate a transferable methodology for developing and implementing effective personnel policies for small-grass root organizations such as group homes. One of the ideals that the American College of Healthcare Executives is founded upon is that effective management of health care systems has a significantly positive impact on patient care delivered in those systems. I believe the same holds true for grass-root community healthcare organizations.

CHAPTER ONE

Rational and Background Of Study

In working with a small health care facility, I found that the very basic
organizational needs of personnel policy and personnel evaluation were almost
completely undressed by the organization. The lack of such basic management tools
became painfully apparent when it was judged necessary to terminate an employee.
The organization needed to develop a usable personnel policy to assist in the
management of its employees. Without such a policy, the organization could not
terminate an employee, (even if a termination action was warranted), without the real
fear of successful legal reprisal by the terminated employee. Employees did not
know what substandard behavior was and what the company's steps of correction
were because the group home system never defined and communicated these
standards through group home policy. This limited the effectiveness of supervision
at the operational level because enforcement and correction of rule violations were
inconsistent and subjective. Two primary goals of this study were to correctly
develop a set of personnel policies that will work effectively in a group home setting
and formulate a transferable methodology for developing and implementing effective
personnel policies for small-grass root organizations such as group homes.

More specifically, four major objectives of this study were to;

1. Formulate a transferable methodology for developing and implementing effective personnel programs for small "grass roots" healthcare organizations, (Goal 2)

2. Demonstrate how an organization can suffer because of a lack of personnel policy and evaluation procedures, (Goal 1).

3. Develop a feasible personnel policy that gives direction and guidelines to both the line supervisor and the employee in resolving work related conflicts, (Goal 1).

4. Demonstrate the effective design of a personnel evaluation program, (Goal 1).

Special Considerations

This study involves the development of a personnel policy for a small group home system. We will define a group home as a community based residential facility housing five to eight developmentally disabled adults. The paper examined the personnel policy practices that have taken place in two group homes within the system and showed how these practices can be improved by using current personnel management and evaluation concepts. It is the hope of the author not only to develop a usable personnel policy for the group home system mentioned in this study, but to also provide other grass-root health care organizations with ideas that they may use while developing and implementing personnel policies.

CHAPTER TWO

REVIEW OF LITERATURE

The review of literature will concern itself with four areas. First, we will review the scientific method for research and the Personnel Policy Change Model used in this study. Second, we will look into why a personnel policy is important to an organization and its employees. The third section of this chapter will review current thought in the development of employee controls and guidelines. Section four will look into some of the different methods of employee evaluation.

Use of the "Scientific Method" in This Study

Dr. Rick Yount (1990) outlined the scientific method used to in development of a research methodology. He discussed the following steps:

1. Begin with the "Felt Difficulty" and derive a problems statement

2. Gather Information. What is known about the situation. This is done through a literature review (presented in Chapter Two of this project).

3. Collect Data

4. Interpret Results. What does the collection of data tell us and are the results transferable to similar situations.

Based on Dr. Yount's description of the scientific method, a Personnel Policy Change Model was developed. The model served as an organized way to approach this project. The model helped greatly in the development of personnel policies for

the organization in this study and is readily transferable to other organizations for their use when developing personnel policies.

A Model for Personnel Policy Development, Implementation and Monitoring

Based on the literature, a pattern of how to develop, implement and monitor personnel policies exists. This method contains four basic steps with many sub-tasks in each step. The four major steps are; Research, Design, Implementation and Monitoring and are shown graphically below in the Personnel Policy Change Model:

Figure 1. Personnel Policy Change Model
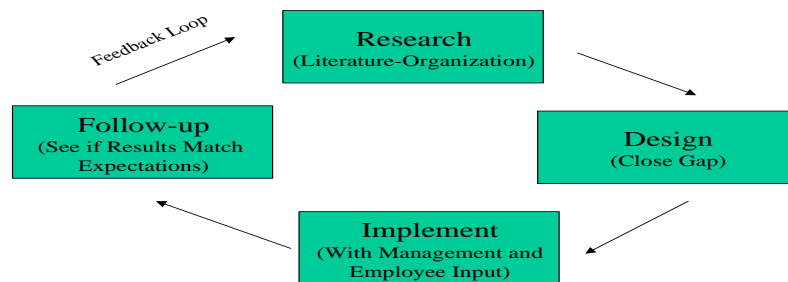
The first step is researching the literature for the latest thought on personnel policies. After researching the literature, the company must be researched to compare "what is" (state of the company's processes) Vs "what ought to be", (as found in the literature), (Wircenski, 1990). The "gap" is then the target of all following efforts and leads to the next major step which is designing personnel polices to close the "gap" between "what is and what ought to be". This step can include not only the views of management, but the views of employees as well.

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Once the personnel polices have been designed, they are implemented. This step

includes effective communication between layers of management as well as

management training. Once management has a firm understanding of the policies

and their intended implementation, employees are once again trained on the intended

use of the new personnel policies. The last step involves monitoring the

effectiveness of the newly implemented personnel policies. This should be done

with input from both management and employees in an environment of trust, without

fear, (Aguaoyo, 1990). Each step of the model will be discussed in further detail.

This model served to form the underlying plan for the methodology used in this

study.

Research

   Researching current literature and the state of the organization helped bridge the

gap that sometimes exists between academia and the "real world". The research of

current literature established current standards set by successful organizations

(Yount, 1990). The organization must also be researched to determine the state of

personnel policies. This is done by not only using input from management, but

employees as well, (Griffith, 1992; Bernardin & Russell, 1993).

Design

   The design step seeks to close the "gap between what is and what ought to be"

highlighted by the research of both the current literature and the organization

(Sullivan et. Al, 1990). As inputs received from both management and employees

was required in the research step, it is also required in the design step of any new set

of policies. Griffith (1992) asserts that it is well documented that employee

involvement enhances performance of the organization as a whole. Bernardin &
Russell (1993) further the discussion on employee involvement in the design of
personnel policies by describing numerous tools that can be employed to capture
employee feedback. The common theme of their work was to get a written or verbal
evaluation of current policies from employees in an atmosphere of trust. Without
trust, no relationship can be truly healthy.

Implementation

   The implementation of any set of personnel polices needs to occur after
management and employees agree on a set of standards that are legally and morally
fair. Implementation involves training both management and employees about the
use and intent of the new personnel policies, (Sullivan et. Al., 1990). During this
training, questions can be answered and all can have input. As noted by Hersey &
Blanchard (1993) the number one desire of employees is to feel "in on things" or, in
other words, they want to feel a part of the process. After this training has occurred,
(sometimes called an orientation), personnel polices can be implemented

Monitoring

   Once newly developed personnel policies have been created, they need to be
monitored to ensure results match expectations. Allen (1992) argues that any process
implemented in any organization must be monitored to ensure results match
intentions. This step ensures that a feedback loop exists within the process that will
ensure future personnel policy development within the organization reflects "lessons
learned" from past experiences, both good and bad.

Having laid the foundation for the study in the discussion of the use of the scientific method for research and development of the Personnel Policy Change Model, we will discuss the importance of personnel policies.

Importance of Personnel Policies

Employee personnel policies cover two general areas. These areas are employee discipline and employee evaluation. Employee discipline polices seek to encourage employees to willfully exhibit behaviors in support of organizational goals, (Allen, 1992). Employee evaluations are used to assist in promotion, placement, training and termination decisions, (Bernardin & Russell, 1993; Allen, 1992). In short, polices attempt to motivate and guide employee behavior to give the organization a competitive advantage, (Bernardin & Russell, 1993); Griffith, 1992). Without these two types of personnel polices, employees will have little incentive to support organizational objectives and organizations will have no objective way to correct poor employee performance or evaluate employees for training, promotion and placement within the organization. Employees will actively work for the goals of the organization when such behavior is compatible with their own goals (Beach, 1980). However, if the goals and personnel policies of the organization are unclear, the company's well being may suffer. Poor communication leads to confusion, frustration and negative attitudes toward meeting perceived company goals (Newman, Warren & McGill, 1984). In a small human services organization such as a group home, as in any organization, it is very important that employees do not work against the goals of the organization. Due to the nature of the actual work done in most group homes, the management style used tends to be permissive leadership (Newman et. al., 1984, Fig. 14.4). Work in a helping profession normally gives

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employees a high degree of built in job satisfaction (McConnell, 1980). Employee job satisfaction gained from the work itself is a positive asset that an organization can use to better serve its patients. However, employees in these high satisfaction occupations still require basic "structural prerequisites to voluntary cooperation" or, mutually understood guidelines and controls (Newman et. al., 1984, p. 352). Managers of this type of organization should not believe that employee satisfaction with the work will automatically translate into cooperation in working toward organizational objectives (Newman et. al.,1984). For example, an employee can work very well with a resident but use an excessive amount of sick days causing staffing problems. The employee may feel a loyalty to the resident, but not to the organization or its goals and yet feel he/she is doing a good job for the organization. The organization, through its communication networks, objectives, policies and control systems, should clearly communicate expected norms of behavior to its employees (Newman et. al., 1984). However, if clear expectations of employee behavior are not expressed by management, organizational norms of employee behavior may be informally set by the employees themselves. This latter possibility rarely benefits the organization in the long run (Newman et.al., 1984). "Ironically, many organizations have never created a set of personnel policies" (Beach, 1980). Personnel policies go a long way in communicating expected norms of behavior to employees. The following are reasons why personnel policies are important to an organization;

1) The formulation of personnel policy requires that the organization give serious thought to the basic needs of both the organization and its employees (Beach, 1980).

2) Established policies assure consistent treatment of all employees in an organization (Beach, 1980).

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3) Consistency of management action is maintained even when there is a management personnel change. Policies promote stability over time (Beach, 1980).

4) Policy serves as a standard of performance (Beach, 1980).

5) "Sound policies help build employee enthusiasm and loyalty when the policies reflect established principles of fair play" (Beach, 1980).

Personnel policies should be in writing. Written policies let people know where they stand in a given situation (Beach, 1980). The use of, and adherence to written policies by management tends to encourage a general expectation by employees, of receiving reasonably consistent treatment in matters concerning employee behavior and performance (Szilagyi & Wallace, 1983). Personnel policies should be well publicized to employees and supervisors who will be using these policies in the day to day activities of their jobs (Beach, 1980). A mood of openness and understanding should be developed when implementing personnel policies. These policies can be used effectively only after they are understood by both supervisors and employees (Beach, 1980).

The next few sections of this chapter will discuss current literature on employee discipline policies and employee evaluation policies.

Employee Discipline Policy

Employee conduct (or discipline) policies are developed from five sources; (1) Past practice; (2) Prevailing practice among other like organizations; (3) Attitudes of upper management as well as the board of directors; (4) Attitudes of middle and lower management; (5) Experience gained from handling countless personnel problems on a day to day basis (Beach, 1980). In addition to these five sources of discipline policy development, employee discipline policies are usually developed to be lawful in their treatment of employees (Mills, 1982, p, 78).

Discipline policies are used to inform supervisors and employees of expected conduct standards and should encourage employees to meet these standards (Bittel, 1985, p, 361). An employee discipline policy answers three general questions (Bittel, 1985);

> **1). What are our employee conduct standards?**
>
> **2). How do we handle employees who perform below standards?**
>
> **3). How do we want our supervisors to use this policy?**

Development of Conduct Standards

Conduct standard development is one of the first steps in developing an employee discipline policy (Beach, 1980). An organization does not want to find itself creating a rule after a violation of this new rule has occurred. No organization can legally take action against an employee if the rule violated was not in company policy when the violation took place. This explains the reason why organizations need to put serious

thought into the rules of a discipline policy in anticipation of employee behavior that would hurt the organization (Beach, 1980).

<u>Handling Offenders</u>

Once the rules or standards of employee conduct have been identified, they should be divided into two groups; minor offenses and major offenses. Minor offenses will generally be handled by oral or written warnings at first, then progressively more severe punishments as violations are repeated. Major offenses may bring suspension or discharge with the first violation (Beach, 1980). Beach gives the following as examples of minor and major offenses;

Minor Offenses

> Habitual tardiness
> Unexposed absences
> Fighting
> Sleeping on the job
> Smoking in a prohibited area
> Leaving work area without authorization
> Failure to report accidental injury
> Failure to obey safety rules
> Clock punching of another employee's time card
> Concealing one's defective work

Major Offenses

> Malicious damage or destruction of company property
> Gross insubordination
> Gross immoral, indecent, or disgraceful conduct
> Stealing
> Carrying concealed weapons
> Promotion of gambling on company property
> Attacking another with intent seriously to injure or maim
> Deliberate falsification of company records

It is important to note that the major and minor offenses suggested by Beach (1980) are meant to be a guide and are not all-inclusive. Rules of employee conduct need to be tailored to the needs of the specific organization. Discipline is not just punishment. Idealistically, a discipline policy should enhance the creation of an attitude of voluntary compliance to established guidelines (Beach, 1980). Discipline policies therefore, should be written and used not only to punish an offending employee when he/she does not meet standards, but also inform the employee of how to correct the problem and indicate what will happen next if the substandard behavior occurs again. Substandard performance by an employee will cause increasingly harsh correction as the infraction is repeated (Bittel, 1985). Correction takes place in the following order (Halloran, 1981, p. 200).

1. **Oral warning**
2. **Written reprimand**
3. **Suspension**
4. **Discharge**

Again, corrective action is meant to guide employees to perform at or above a set standard. The employee is corrected gently at first, but if the offense re-occurs correction used will become more severe until the employee corrects his/her behavior, or continues the substandard behavior until discharge is required by policy. At each step of the process, the employee knows what the next consequence is if offenses are repeated (Beach, 1980).

In any discipline system, a grievance system should be provided to employees who feel they have been unfairly treated. A grievance system provides a way to adjust employee's complaints or clarify disputes over the rights and obligations of the employer. It also brings the matter to the attention of upper management and defines the nature of the complaint (Mills, 1982). A grievance system usually has a number of steps an employee can take in voicing a disagreement. The actions at each stage of the grievance process are defined by policy and have a time limit that, if exceeded, will automatically move the grievance process to the next step (Mills, 1982). Based on the assumption that most grass root organizations are not unionized, the steps in a non-union grievance policy are examined below.

Figure 2: "A Non-Union Company Grievance Program" (Mills, 1982; p. 148).

Step 1 The employee takes the complaint to his/her supervisor, unless it concerns the supervisor, in which case the employee goes directly to step 2.

Step 2 The employee takes the complaint to an employee relations representative, who investigates the complaint and explains any relevant company policies to the employee.

Step 3 The employee and the employee relations representative then go to the employee's immediate supervisor, and the employee relations representative assists the employee in presenting the case.

Step 4 If the grievance remains unsolved, it is taken to the top managerial officer in the organization, whose decision is final.

Supervisor's use of a discipline policy:

A policy is basically a directive that explains what is good behavior and what is poor behavior. The supervisor is to use the policy as an aid in making decisions and effectively communicate the meaning of this policy to his employees. The supervisor

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is also tasked to identify problems when they occur and correctly apply policy as it was intended by the writers of the policy (Bittel, 1985). In the identification and correction of problems, the idea of "discipline in private and praise in public" should be adhered to in all but the most extreme situations. Most people fear public embarrassment more than the actual discipline itself (Halloran, p. 193).

Of all of the tasks we entrust supervisors to do, identification and proper correction of employee problems may be the most difficult. One reason for this difficulty is the human variables involved. Feelings, attitudes, friendships and personal problems can all contribute in impairing judgment of employees and supervisors (Bittel, 1985). Moreover, it hurts morale for employees either to witness unduly harsh punishment or to see someone else get away with violating rules (Halloran, 1981). A possible solution to this problem is the functional application by supervisors of the "Hot Stove Rule of Discipline" (Bittel, 1985).

The premise of this principle gives the example of how a reasonable person would view the idea of touching a hot stove. If one looked at a stove and saw it as red hot, he would have received advanced warning. If he touched the stove he would get burned (penalized) quickly, showing the principle of immediacy. Each time he touched the stove, he would get burned consistently. Any one who touches the hot stove will get impartially burned (Bittel, 1985). Illustrated by this example are the basic principles of an effective application of a discipline policy. The four values of warning, immediacy, consistency and impartiality are found to be reasonable by most people who should accept the proper application of these values in the workplace (Bittel, 1985). If employees understand the basis for application of policy, and

believe it to be reasonable, they are more likely to engage in self-discipline, which is to the benefit of both themselves and the organization (Bittel, 1985).

Although a policy can lend a limited amount of assistance to a supervisor in detection of a rule violation, it should be written to be as helpful as possible in indicating to the supervisor the course of action to be taken after a detection (observation of substandard performance of an employee by a supervisor), has been made. The supervisor should be aware of his duties to the organization, as well as to employees who perform below standard, at each step of the disciplinary process (Beach, 1980). This is a primary reason why lower level supervisors should be involved in the development of discipline policies when possible (Beach, 1980). The need for documentation at each step of the discipline process cannot be overstated (Beach, 1980; Halloran, 1981). If an employee has exhibited performance that requires termination, a paper trail of documentation showing steps of warning and fair treatment of the employee should have been developed (Halloran, 1981). In this sense, organizations that do use a progressive discipline process and require documentation throughout this process not only encourage fair treatment of employees, but also protect themselves from wrongful discharge suits filed by discharged employees (Halloran, 1981; Mills, 1982).

Employee Performance Evaluation

Employee evaluations provide many functions for both organizations and employees. They give employees feedback on their performance. They attempt to encourage desired behavior and discourage substandard performance. Evaluation

also provides information dealing with promotions, transfers, training requirements, employee selection procedures and employee separation (Bittel, 1985). Evaluation is generally described as a four step process; (1) Establish standards; (2) Record actual performance; (3) Reviewing performance in light of standards; (4) Determine corrective actions (Szilagyi & Wallace, 1983). This four step process of personnel evaluation should apply to everyone who is an employee of the organization. The need to monitor and improve employee performance exists at every level (Szilagyi & Wallace, 1983). As a general rule, supervisors should evaluate permanent employees at least once a year with better results occurring if permanent employees are rated every six months. Persons on probationary training should be evaluated at least once before their probationary period is over (Halloran, 1981).

Establish standards

Obviously, different employees have different impacts on an organization depending on their skills and responsibility. According to Szilagyi and Wallace (1983), there are five levels at which performance can be evaluated;

1. Corporate or organizational outcomes (i.e. profits)
2. Unit outcomes
3. Individual task outcomes
4. Individual behavior
5. Individual traits that influence behavior

Szilagyi and Wallace (1983) believe that the level of evaluation depends on the purpose of the evaluation. The following table allows the manager to match up the desired purpose of the evaluation with the correct level of evaluation.

Figure 3: "Level of Analysis and Purpose in Performance Appraisal" (Szilagyi & Wallace, 1983, p,364)

Purpose of Evaluation	Level of Analysis
Promotion, termination, transfer	Individual task outcomes; Individual behavior
Evaluating effectiveness, selection and placement decisions	Individual task outcomes; Individual behavior

Evaluation of relative merit:
    Individual
    Group
	
	Individual task outcomes
	Unit or division outcomes

Bonus, equity interest	Corporate outcomes
Evaluating training and development needs, Evaluating training effectiveness	Individual behavior; Individual traits
Information for budgets, human resource plans, and production schedules	Individual task outcomes; Unit or division outcomes

Simply stated, an employee's job description should accurately describe the duties the employee performs. If it does not, it should be revised. In analyzing an employee's job, three major methods can be used; (1) observation; (2) questionnaire; (3) interviewing (Beach, 1980). The observation method gives the job analyst a good idea of the conditions, hazards and duties involved in a person's work. The questionnaire method involves giving employees written job analysis questionnaires that attempt to find out what the employee actually does. The interview technique

involves more time but is a very thorough and sound approach and is the most widely

used technique in analyzing an employee's job (Beach, 1980).

In developing a job description, the following questions would be asked during a

job analysis interview with an employee (Beach, 1980).

1. Duties
        What duties do you perform daily?
        What duties do you perform weekly of monthly?
        What duties do you perform at irregular intervals
2. Supervision
        How many people do you supervise?
        How much authority do you have?
        Can you correct, discipline, give promotions, settle grievances etc.?
3. What contacts outside of the company are you required to make?
        Their titles?
        Nature of these contacts?
    4. Decisions
        What decisions do you have to make without consulting your
        supervisor?
    5. Responsibility
        Describe the nature of your responsibility to the organization
    6. Records and Reports
        What records do you prepare?
                What is the source of this data?
    7. Checking of your work
        How is your work checked?
        Who checks it?
    8. Job Hazards
        Describe Job Hazards
    9. Present Job description
        Looking at your present job description,
                1. Are there duties listed you do not do?
                2. Are there duties you perform that are not listed?

It is suggested that the person who must compose and write job descriptions

should use both the observation and interviewing techniques simultaneously. Some

firms also follow the practice of not only showing the supervisor of the job the completed description, but also the job holder for approval. This step is taken to increase the accuracy of the description and to gain support and understanding from both the supervisor and the job holder (Beach, 1980).

Keeping these job descriptions up to date is also very important. Descriptions should not be filed away and forgotten. They should be periodically reviewed and updated as needed to assure accuracy of the description and to assist evaluation efforts. Up to date job descriptions also allow us to improve our employee orientation and training programs, which will now be briefly discussed.

The first working days greatly influence employee attitudes toward their jobs and companies for which they will be working. In other words, it is just as important for the company, as it is for the new employee, to get started off on the right foot. Orientation is designed to introduce an employee to general organizational matters. A basic checklist is given below for a successful orientation (Halloran, 1981).

1. Workstation, introduce the employee to his/her work station and as many fellow employees as possible.
2. Working hours, describe normal working hours and how time is recorded.
3. Rest rooms locked cabinets, etc.
4. Transportation, company vehicle policy, parking policy, mileage policy.
5. Pay status, hourly rate, raise increments, pay periods, overtime policy.
6. Safety rules
7. Grievance policy
8. Absenteeism policy, sick call procedures etc.
9. Facility tour
10. Review of job description

Training occurs after orientation when the employee is being aquatinted with his/her actual job. The new employee should be assigned a trainer. The trainer should use a written breakdown of the job to be learned by the new employee. Components of this job breakdown should come from the job description. After both trainee and trainer are satisfied that the trainee has grasped the elements of the job, both parties should sign the written job breakdown (Beach, 1980).

Record actual performance

It is this step of recording actual performance where most performance evaluation systems fail. The main reason is based on how performance is recorded. If a supervisor evaluates an employee for a year, but has not made any notes on the employee's performance, the ratings will reflect either recent occurrences or spectacular events, be they good or bad. From Halloran to Szilagyi & Wallice, to the United States Air Force, most experts agree that the best way to record actual performance is throughout the reporting period, not just at the end. Furthermore, most feedback systems ensure that employees are briefed on their strengths and weaknesses throughout the reporting period, not just at the end. Behaviors, good and bad, are recorded on a log and employees and supervisors discuss needing improvement while the employee still has time to correct situations that need to be corrected. A figure showing this concept is offered for your consideration.

Figure 4. Evaluation/Employee Feedback Cycle

As the timeline indicates, Feedback is given throughout the evaluation period. Soon after supervision starts, an initial feedback session is given to make employees aware of what is expected of them. A midcourse feedback is given at the halfway point between when supervision starts and the employee is "rated" or officially evaluated. The final feedback is given at the end of the evaluation period. This feedback is designed to ensure employees understand the rational behind the ratings they will receive. The employee should get no surprises when they first look at the official evaluation. Evaluation periods, sometimes called reporting cycles, can be six months to a year long.

Feedbacks should be done in private. Supervisors should use the actual evaluation form employees will be rated on. The theme of the feedbacks should be, "If I had to rate you today, your rating would be…". Employees should initial or sign that they have received a feedback from their supervisor.

Employee feedback isn't the only issue in dealing with employee performance evaluation. Two of the bigger problems with performance evaluations are reliability (will our measurement tool show consistency and stability over time?), and validity (are we measuring what we seek to measure?) (Szilagyi & Wallace, 1983). We will briefly examine these two problems.

Reliability

Three problems with insuring reliability in performance appraisals are situational factors (timing of appraisal, supervisor's mood), temporary individual factors (fatigue, mood, health), and inadequate definition of performance (Szilagyi & Wallace, 1983). The first factor dealing with the timing of the evaluation and the supervisor's mood, may bring back memories of when we as supervisors, received a stack of employee performance evaluation forms to complete. If we did not keep on-going notes on employee performance throughout the length of the evaluation period, we generally remembered only recent and extreme events and thus, recorded subjective evaluations on the form. This type of employee evaluation does not lend itself to a reliable evaluation (Beach, 1980). One suggestion to improve the chances of insuring reliability in performance evaluations is to make multiple observations (noting results) throughout the evaluation period. Then, when the periodic evaluation is due on an employee, the supervisor can consult his recorded

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observations of that employee's behavior and record objective results, rather than subjective results on the evaluation form (Szilagyi & Wallace, 1983).

Validity

Problems with validity in a measurement tool involve the basic question; Are we measuring what we seek to measure? or, are we measuring something else? Errors in performance appraisal that can hurt the validity of an evaluation were identified by Szilagyi and Wallace (1983) and listed below;

Problems with validity

1. Stereotyping
2. Halo effect; Individual is rated the same way on all traits because of the rater's general impression of the person
3. Contrast error; Rater allows his impression about one employee to influence his impression of another employee
4. Similar to me error; The rater will rate someone like him/her in a more favorable light than other employees who do not share similarities with the rater
5. First impression error; When a manager allows his/her first judgment about an employee affect all subsequent judgments

One solution to the above problems of validity is to focus job evaluation on specific components of performance. Evaluations should be written so that objective behaviors of employees are recorded. Global questions such as "Overall, how would you rate this employee?" do not assess the true performance of an employee and cause problems of validity simply because of the subjectivity of the response to such a question (Szilagy & Wallace, p. 378).

<u>Review performance in light of standards</u>

We will now look at four types of evaluation forms, rating, ranking, behavior expectation scales and behavior observation scales.

Rating and ranking forms

Rating and ranking forms are based on traditional methods of evaluation. Observers make a very brief study of the job focusing on several major task dimensions. They note these dimensions in broad global terms. Unfortunately, this type of rating system contains many validity and reliability errors described earlier (Szilagyi & Wallace, 1983). Page 16 shows an example of rating and ranking forms

Figure 5: Employee Rating Form (Szilagyi & Wallace, 1983, p. 381)

Name_____Date_____
Ratings on these factors measure personal qualifications and character traits in respect to the requirements of the job. Circle appropriate rating

	3 Better Than Average	2 Average	1 Less Than Average
Appearance Cleanliness, neatness	3	2	1
Manners Politeness, courtesy	3	2	1
Intelligence Ability to comprehend	3	2	1
Education Sufficient for job	3	2	1
Physical condition	3	2	1
Loyalty	3	2	1

Self reliance	3	2	1
Self confidence	3	2	1
Leadership	3	2	1
Initiative	3	2	1
Enthusiastic	3	2	1
Cooperative	3	2	1

Ranking evaluations, in particular, force the evaluator to distribute scores among employees. In this procedure, a single global dimension of performance would be defined, then several employees would be ranked in terms of this dimension, from highest to lowest. Problems with reliability and validity abound in this procedure (Szilagyi & Wallace, 1983, p, 382).

Behavioral Expectation Scale and Behavioral Observation Scales

Behaviorally based measures of job performance focus on specific behaviors rather than global terms. They attempt to record more objective evaluation of employee performance than traditional rating methods (Beach, 1980). Although this type of system is relatively new, behaviorally based rating scales are found to be more resistant to rater error than more traditional global trait scales (Szilagyi & Wallace, 1983).

Behavior Expectation Scales

Behavior expectation scales take each job dimension and lists a set of expected behaviors that may occur. The expected behaviors are listed from 1 (least preferable) to 7 or 9 (most preferable). An example of a behavior expectation scale is given below. The example covers one job dimension, "Supervising sales personnel" (Beach, 1980; fig, 10-3, p, 213).

Figure 6: Behavior Expectation Scale

Behavior: Supervising sales personnel

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Could be expected to conduct a full day's sales clinic the two new sales personnel and develop them into top sales people in the department

--8

Could be expected to give his sales personnel confidence and a strong sense of responsibility by delegating many important jobs to them

--7

Could be expected never to fail to conduct weekly training meetings at a scheduled hour and to convey to them exactly what he/she expects

--6

Could be expected to exhibit courtesy and respect toward his sales personnel

--5

Could be expected to remind sales personnel to wait on customers instead of talking with each other

--4

Could be expected to be critical of store standards
in front of employees, thereby risking their developing poor attitudes

--3

Could be expected to tell a employee to come into work even though they called in sick

--2

Could be expected to go back on a promise to an individual whom he had told could transfer back into a previous department if he/she did not like the new one
--1
Could be expected to make promises to an individual about his/her salary being based on department sales even when he knew such a practice was against company policy

Although the above example showed one dimension of a person's job being evaluated, a set of behavioral expectation scales are developed for each job so that all 25 important aspects of a person's job are reflected by behavior expectation scales in the overall evaluation (Beach, 1980).

Behavior Observation Scales

Behavior observation scales allow the observer to note the behavior he actually sees. Job dimensions are well defined as in behavior expectation scales, but the evaluator does not have to match his rating to a pre-determined description of a behavior. The behavior observation scale looks like a traditional rating scale at first glance, but specific actions or behaviors are listed as job dimensions instead of global terms as with rating forms (Szilagyi & Wallace, 1983). An example of a behavior observation scale is shown below;

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Figure 7: "Behavior Observation Scale" (Szilagyi & Wallace, 1983, p, 385)

---

1. Work habits, cleans up work area when job is completed

Almost Always   1   2   3   4   5   Almost Never

2. Argues with Forman in front of others

Almost Always   1   2   3   4   5   Almost Never

3. When unsure about a problem, discuss it with a supervisor

Almost Always   1   2   3   4   5   Almost Never

4. Knows the information provided in technical bulletins and manuals on the equipment in his/her area

Almost Always   1   2   3   4   5   Almost Never

5. Knows where to get special equipment of supplies to get the job done

Almost Always   1   2   3   4   5   Almost Never

6. Doesn't know the capabilities and limitations of equipment

Almost Always   1   2   3   4   5   Almost Never

7. Arrives at work on time (e.g. no later than 6 am)

Almost Always   1   2   3   4   5   Almost Never

8. Stays on the job

Almost Always   1   2   3   4   5   Almost Never

9. Meets deadlines with minimum overtime (if possible)

Almost Always   1   2   3   4   5   Almost Never

10. Keeps a sense of humor (smiles) even in difficult situations

Almost Always   1   2   3   4   5   Almost Never

11. Has the smell of liquor on his/her breath

Almost Always   1   2   3   4   5   Almost Never

        12. Does not spend more time behind the desk than in the work area

Almost Always   1   2   3   4   5   Almost Never

        13. Resists change, complains, and/or is slow to implement it

Almost Always   1   2   3   4   5   Almost Never

        14. Does not delegate work (must do everything)

Almost Always   1   2   3   4   5   Almost Never

        15. Does not check to see if that the job area is clean after the job has been completed

Almost Always   1   2   3   4   5   Almost Never

Scales that rate specific job dimensions such as the two behaviorally based scales discussed require a different set of scales be developed for each job family. The job dimensions that appear on the evaluation form come from the job description (Beach, 1980).

The type of evaluation method used depends on the needs of the organization and the emphasis the organization places on performance evaluation. Trait or ranking scales will enable the organization to use one evaluation form in ranking performance of many jobs, however, these two methods of evaluation exhibit reliability and validity errors (Beach, 1980; Sziagyi & Wallace, 1983). Behaviorally based scales require a tighter connection between the job description and the job evaluation form. The preparation of behaviorally based scales requires much more

time as well as employee involvement, but the benefits of this type of evaluation are shown below.

Figure 8: "Evaluation of Performance Evaluation Methods" (Szilagyi & Wallace, 1983, p. 386)

	_Global Ranking	Trait Based Rating Scales	Behavioral	Job Outcomes
Feedback Development	poor	fair	good to very good	fair to good
Promotion Separation Transfer Decision	poor	poor to fair	very good	good
Reward Allocation	poor	fair	very good to outstanding	very good
Selection Placement Decision	poor	poor to fair	very good to outstanding	good to very good
Assessing Training Needs	poor	fair	very good	good
Resources Needed to Develop Evaluation	low	low	high	high
Degree of Job Specificity	low	low to moderate	high	high

Determine corrective actions

Employees display individual differences with respect to which rewards they value. Not everyone who works in an organization has the desire to be promoted or to one day run the organization. Expectancy Theory basically deals with an employee's perceived chances of; (1) successfully completing the task if maximum effort is expended and; (2) receiving the promised reward from the organization if the task is completed. Dubrin, (1978, p.32) indicates that the principle of Expectancy Theory can be shown in three questions that employees ask themselves;

> **(1) What is in it for me?**
>
> **(2) How hard will I have to work to get what's in it for me?**
>
> **(3) What are my real chances of getting that reward if I do what you (or they) want?**

As indicated in this chapter, it is very important for any evaluation system to tie reward (or lack of reward) to performance. This can be done in many ways and will make employee evaluations and job descriptions more valuable as management tools (Dubrin, 1978).

This literature review began with a review of the scientific method for research and detailed the Personnel Policy Change Model that formulated the approach and the methodology used in this project. Personnel polices were then discussed with an emphasis placed on Progressive Discipline Polices and Employee Evaluation

Systems. Chapter Three will discuss the methodology used in the research of the

group home system studied in this project.

CHAPTER THREE

METHODOLOGY

Chapter three is divided into three major sections. The first section will give an explanation of how the organization was studied. The second section will describe how the present discipline policy was analyzed. The third section will describe how the job descriptions and performance evaluation procedures were analyzed. In evaluating the current discipline policy and employee evaluation systems, information was gathered from current management literature and interviewing employees of the group home system. The interviewees included the administrator, program director, employees, and the group home board of directors.

Organization

The group home system was studied from several different aspects. The mission and scope were identified along with sources of funding. The organizational structure was reviewed to determine relationships between the various levels of management and the employees. The methodology of how the group home system developed their "current" set of personnel policies was also reviewed. Permission was granted by the group home system administrator and board of directors before any analysis was conducted.

Discipline policy

The current discipline policy was studied by viewing the policy against the suggested components of a discipline policy by management experts (whose views were expressed in chapter two). The employee interviews were conducted in private

on an individual basis except for the board members. A total of 19 interviews were

conducted in during a three-month period. In all of the interviews were conducted

using the emic approach, (open ended questioning approach where all questions after

the first are based upon previous responses until the interviewee has nothing left to

say). The "lead off" question was, "Do you like the present discipline system and if

so, what are it strengths and if not, what are its shortcomings? Responses from the

interviews were compiled to identify significant trends and common themes.

Job description analysis

In analyzing how accurate the present job descriptions described the duties

performed by employees, the observation and interviewing techniques were used

simultaneously. The observation phase took place first, as it indicated a real need for

the rewriting of job descriptions. The questions asked, followed a job description

questionnaire shown in Appendix C. After the interviews were completed, the

program directors (as well as the employees), approved the job descriptions.

Performance evaluation procedures

Performance evaluation procedures were analyzed by viewing past evaluation

procedures and criteria with regard to current literature in this area. Management and

employees were interviewed to determine if attitudes regarding the job descriptions

used and the performance evaluation standards were similar or different. Questions

regarding the performance standards were asked directly after employees gave their

opinions during the job description analysis of the interview.

CHAPTER FOUR

FINDINGS

This study set out to identify why a personnel policy is important to both the organization and its employees. This was accomplished by reviewing current literature, analyzing the organization's mission and structure, observing employees at work, reviewing past organization personnel practices and interviewing organization personnel. This process was done using the Personnel Policy Change Model discussed in Chapter Two.

The Group Home System

The group home system studied consisted of three separate facilities caring for approximately 6-8 residents each. The residents were all multiple handicapped meaning they all suffered from mental and physical disabilities. The group homes were an off shoot of the county mental health system and were funded by a shoestring budget. The charter of the group home system was to provide round the clock care for the residents within these homes and provide for a happy living environment. Medical care was provided through the county mental healthcare clinic and a local general practitioner. The costs of medical care was funded through Medicaid. All residents worked in a "sheltered workshop" environment five days per week. The sheltered workshops received government grants to operate. The organizational structure of the group home system follows;

Figure 9. Group Home System Organization Chart

```
                    ┌─────────────────────────┐
                    │     Board of Trustees    │
                    └─────────────────────────┘
                                 │
                    ┌─────────────────────────┐
                    │      Administrator       │
                    └─────────────────────────┘
          ┌──────────────────────┼──────────────────────┐
┌─────────────────┐   ┌─────────────────┐   ┌─────────────────┐
│ Group Home #1   │   │ Group Home #2   │   │ Group Home #3   │
│    Program      │   │    Program      │   │    Program      │
│    Director     │   │    Director     │   │    Director     │
└─────────────────┘   └─────────────────┘   └─────────────────┘
```

—2 Full Time   —2 Full Time   —2 Full Time

    6   6   6
   Part   Part   Part
   Time   Time   Time
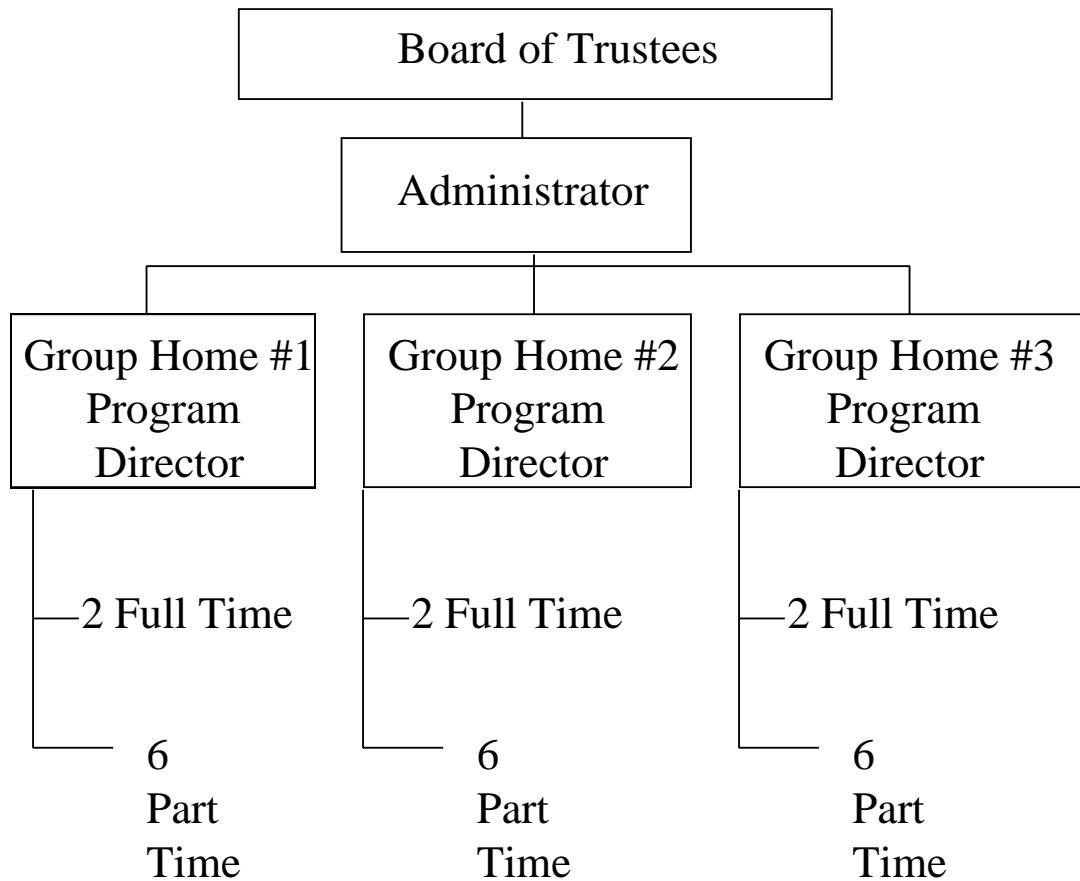
The chain of command rose from an employee through the group home program director, through the administrator to the Board of Trustees. In normal day-to-day operations, group home employees rarely interacted with the administrator and almost never interacted with the Board of Trustees Each group home had three full time employees, the Program Director, programming Assistant and Habilitation Technician. The other six employees worked on a part time bases.

Discipline Policy - Findings

The employee discipline policy used in the group home system consisted of a few general rules to guide employees' actions. The policy gave no instructions to supervisors (group home program directors) indicating how to handle personnel problems. No steps of correction were included in this policy. As problems arose, policy letters were written to indicate the correct way for employees to act in the future. As noted in chapter two, a discipline policy needs to be pro-active instead of reactive in its implementation and use. The policy being used by the group home system was clearly reactive.

The interviews gave insight as to the operational frustrations of a reactive discipline policy. The administrator believed that the present discipline system was not developed enough for the needs of the group home system. Past problems had occurred with the inconsistent application of discipline. For example, an employee was given a written reprimand for not completing an assigned task he had not received training on. The administrator did not find out about this written reprimand until a year later, indicating that the program director had the autonomy to make personnel decisions without notifying the administrator. Although she did not actually work in the group homes, the administrator wanted to be kept informed of such matters by the program directors who worked for her. The two basic problems cited by the administrator were; lack of consistency over time by supervisors who used the discipline policy; and lack of communication. She indicated that the current discipline policy did not give enough direction to supervisors (program directors) and the administrator should be kept informed on discipline actions taken by supervisors.

The program director indicated that once an employee completed the six month probationary training period, there was no way to effectively correct (or remove if needed) that employee because the rules were unclear. Program directors had no written guidelines to go by when dealing with employee problems.

During the interviews, all of the employees tried to seek out what the rules actually were. The employees were more than willing to accept the rules of a discipline policy, as long as the policy was applied equally to all employees and remained consistent in its application from supervisor to supervisor.

The board indicated that the discipline policy being used did not give enough direction to supervisors or employees on what actions would not be tolerated by the group home policy. The suggestion of a progressive system of warnings and actions against employees who continually violated standards was discussed and met with acceptance. The board also suggested that some offenses (major offenses) should require automatic dismissal and minor offenses should be handled through progressive steps of correction. The board of directors offered these suggestions with the idea that the current discipline policy should be rewritten.

The complete discipline policy is in Appendix A of this report, however, major points of the newly made policy are given here. The policy should be fair and consistent over time, give supervisors guidance in handling employee problems and let employees know what is expected. The policy developed is a progressive discipline policy. Discipline takes place in the order suggested by Halloran (1981, p. 200).

1. Oral Warning

2. Written Reprimand

3. Suspension

4. Discharge

The policy also includes forms for each step of this process to aid supervisors in the documentation of disciplinary actions. The policy indicates that if an employee is corrected and documentation takes place, the employee receives a copy, a copy goes in the employee's file, and the administrator receives a copy.

As suggested by both Beach (1980) and the board of directors of the group home system, the rules of the discipline policy are divided into minor offenses and major offenses. Minor offenses will be handled by the progressive discipline process and major offenses may be grounds for automatic dismissal. The developed rule breakdown is listed in the discipline policy under minor and major offenses.

Also suggested by Mills (1982) the discipline policy will indicate a grievance policy that an employee may use if they feel they need to. Throughout the policy, the supervisor is given instructions on how to conduct his/her actions in different situations when applying the policy.

Employee Evaluation Policy

The employee evaluation policies were analyzed by viewing job descriptions and performance evaluations separately. Although job descriptions and performance evaluations are closely linked to one another, the "current" policies in the group

home system showed very little linking between the two. Separate discussions of job descriptions and performance evaluation policy follows.

Job Description Analysis - Findings

The results of the analysis showed that the job descriptions being used were outdated and did not reflect the duties being performed by employees. In the observation of employees at work, it was noticed that many items on a given job description were never completed by an employee on a day to day basis because the job description did not relate well to the functions actually performed by that employee. The employee interviews highlighted this point. Employees did not wish for the duties they did not perform to remain on their job descriptions. Employees indicated what their duties were and expressed the desire for these duties to be recognized on their job descriptions. Many employees expressed the idea that more accurate performance evaluation could take place if their job descriptions reflected the actual duties they performed. After the new job descriptions were written, employees and supervisors had the chance to review the job descriptions ensuring their accuracy and fairness. The developed job description for the Habilitation Technician is given as an example of our completed job description. Job descriptions for all employees in the group home system can be found in Appendix B.

Figure 10: Job Description for Habilitation Technician

Lives with residents at least two nights a week and is responsible for the following:

1. Prepares meals for residents according to planned menus.
2. Responsible for seeing that resident laundry is done, either by doing it, or assisting residents to do it when appropriate. (washing, drying, folding, ironing).

3. Administers resident medications as prescribed and documents this in their chart.

4. Supervises residents when on duty and responds in emergency situations as directed by the supervisor.

5. Provides transportation to residents, as requested by supervisor.

6. Carries out resident's goal plans.

7. Assists with housekeeping and yard maintenance, as requested by supervisor.

8. Assists with residents' activities as needed.

9. Participates in conferences and in-service training as available.

10. Completes all other duties assigned by Program Director or Administrator.

Performance Evaluation Analysis - Findings

In looking at the past use of performance evaluation forms in the group home system, it was determined that the purpose of those evaluations were; promotion, transfer, evaluating effectiveness, selection and placement decisions. In comparing the old performance evaluation with the different methods available, it was noted that the old evaluation was trait based and unrelated to job duties. In fact, employees were evaluated using forms from the county mental health clinic which in no way reflected the duties employees in the group home system performed.

Following current management thought, the best alternative was to develop behavior observation scales, because they would be appropriate for the purpose of evaluation and because of their effectiveness in relation to other rating systems.

The job evaluation, using behavior observation scales, for the Habilitation Technician is given below.

Figure 11. Job Evaluation, Habilitation Technician

Job Evaluation

<u>Habilitation Technician</u>

Name _____ Date_____

Time in current position _____

1. Prepares meals for residents according to planned menus.

    Almost always 5 4 3 2 1 Almost Never

2. Responsible for seeing that resident laundry is done, either by doing it or assisting

    residents to do it when appropriate. (Washing, drying, folding, ironing).

    Almost always 5 4 3 2 1 Almost Never

3. Administers resident medications as prescribed and documents this in their chart.

    Almost always 5 4 3 2 1 Almost Never

4. Supervises residents when on duty and responds in emergency situations as

    directed by supervisor.

    Almost always 5 4 3 2 1 Almost Never

5. Provides transportation to residents as requested by supervisor.

    Almost always   5   4   3   2   1   Almost Never

6. Carries out residents' goal plans.

    Almost always   5   4   3   2   1   Almost Never

7. Assists with housekeeping and yard maintenance as requested by supervisor.

    Almost always   5   4   3   2   1   Almost Never

8. Assists with residents' activities as needed.

    Almost always   5   4   3   2   1   Almost Never

9. Participates in conferences and in-service training as available.

    Almost always   5   4   3   2   1   Almost Never

10. Completes all other duties assigned by Program Director or Administrator.

     Almost always   5   4   3   2   1   Almost Never

11. Actively interacts with residents.

     Almost always   5   4   3   2   1   Almost Never

12. Has strong knowledge of residents' needs.

     Almost always   5   4   3   2   1   Almost Never

13. Attendance, can be counted on to be at work when scheduled.

     Almost always   5   4   3   2   1   Almost Never

14. Arrives at work on time.

     Almost always   5   4   3   2   1   Almost Never

15. Argues with supervisor in front of others.

     Almost always   5   4   3   2   1   Almost Never

16. When unsure about a problem, will discuss it with a supervisor.

     Almost always   5   4   3   2   1   Almost Never

17. Accepts change, is willing to try new ideas.

     Almost always   5   4   3   2   1   Almost Never

_____

Employee Strengths (please comment on any ratings of 4 or 5)

_____

Areas needing improvement (please comment on any ratings of 1 or 2)

_____

Evaluation completed by _____

Title _____ Date _____

Certification of employee

I have reviewed and discussed this evaluation. I understand that my signature does not

indicate my approval or disapproval but rather that the above information has been

reviewed with me.

Employee remarks _____

_____

Score (if used) _____

Employee's signature_____Date_____

Witness (if necessary)_____Date_____

Administrator's signature

_____Date_____

    Job evaluations for all employees are shown in Appendix B of this report. Note

that the Performance evaluation forms contain all of the Job Description elements

with a rating scale under each one. This was done for simplicity and consistency.

Orientation and training

    During the course of the interviews, employees indicated a desire to know and

understand their jobs as early in their employment as possible. Ironically, the group

home system and no formalized orientation and training checklists. To help resolve

this issue, an orientation and training checklist was developed to ensure employees have the basic knowledge to work effectively. The orientation checklist (Halloran, 1981) is given below.

Figure 12: Orientation Checklist

1. Work station. Introduce the employee to his/her work station and as many fellow employees as possible.

2. Working hours. Describe normal working hours and how time is recorded.

3. Rest rooms, locked cabinets, etc.

4. Transportation. Company vehicle policy, parking policy, mileage policy.

5. Pay status. Hourly rate, raise increments, pay periods, overtime policy.

6. Safety rules

7. Grievance policy

8. Absenteeism policy. Sick call procedures etc.

9. Facility tour

10. Review of job description

Training Checklist

The training checklist includes basic tasks performed by all employees while referencing the particular employee job description. As suggested by Beach (1980), the employee is assigned a trainer. Both sign the completed checklist when they both feel the trainee has a good grasp of his duties. The training checklist is given on the following page;

Figure 13: Training Checklist

1) Can take temperature.

2) Has been instructed on how to give medicine.

3) Has been instructed on how to record medicine.

4) Understands fire evacuation procedures and knows location of fire extinguishers.

5) Understands commitment procedures.

6) Has good knowledge of residents' goal plans.

7) Understands confidentiality rules.

8) Has reviewed job description.

Trainee signature _____Date_____

Trainer signature _____Date_____

CHAPTER 5

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

In working with a small healthcare facility, I found that the very basic
organizational needs of an effective discipline policy and personnel evaluation
system were almost non-existent. The result of this lack of policy was a workforce
that was only moderately supportive of organizational goals. Employees were more
loyal to the residents than the organization. Furthermore, management had no
effective mechanism to discipline or properly evaluate their employees.

The premise of the study was that a methodological approach could be
developed to implement effective personnel policies in a small grass roots
organization such as a group home. This approach could then be used by other
organizations to implement effective personnel polices. The approach used in this
study was the Personnel Policy Change Model described in Chapter Two.

The polices shown in Appendices A and B benefited from management and
employees working together. These Appendices are the deliverable to satisfy the
first main goal of the study, to develop effective personnel policies. The second
major goal was satisfied through the development of the Personnel Policy Change
Model in Chapter Two. The satisfaction of the four specific objectives in support
of these two main goals are reviewed in the following discussion.

Objective One of this study was to Formulate a transferable methodology for
developing and implementing effective personnel programs for small "grass roots"
healthcare organizations, (Goal 2). The Personnel policy Change Model was used as

the fundamental framework of this study. It provided a methodology to successfully implement personnel polices in the group home system studied and is designed to be transferable to other organizations.

Objective Two of this study was to demonstrate how an organization can suffer because of a lack of personnel discipline policy and evaluation procedures. The literature showed how important it is for an organization to indicate to its employees desired standards of behavior. Although many organizations have never created a written set of personnel policies, these policies go a long way in informing employees of expected norms.

The interviews discussed in Chapter Three highlighted the views of the employees of the organization. Lack of a strong policy caused inconsistent treatment of personnel, lack of communication between program directors and the administrator on discipline matters, little guidance to program directors in using the policy, no standard method in correcting substandard performance and confusion on the part of employees as to what was expected of them. A note or interest is that employees actively desired to know "what the rules were".

Objective Three of this study set out to develop a feasible personnel policy that gives direction and guidelines to both the line supervisor and the employee in resolving work related conflicts. The review of literature gave most of the assistance needed in developing a discipline policy. The literature indicated that rules need to be created in anticipation (pro-active instead of reactive) of employee behavior that would hurt the organization. Rules should be divided into major and minor offenses.

Offenders of a major rule may be suspended or discharged. Offenders of a minor policy should be corrected gently at first with the punishment becoming more severe if the offense occurs again.

At every step of the discipline process, the employee should know what he/she did wrong, the punishment involved, what will happen if the violation occurs again and how to correct the problem. Discipline policies should be written to gain voluntary compliance to established guidelines. Stated in the literature was the idea of a grievance policy employees can use if they feel they have been treated unfairly. The "hot stove rule" is an effective way of applying discipline, because it embodies four values most people agree with; advanced warning, immediacy, consistency and impartiality.

Documentation is another very important aspect in any discipline process. This encourages standard treatment in disciplining employees and can protect the organization from wrongful discharge suits. Documentation can also be arranged to foster communication between the different levels of management. For example, if an employee receives a written reprimand, one copy would go to the employee, one copy in that employee's file and one copy would go to the administrator.

Objective Four sought to demonstrate the steps required in designing an effective personnel evaluation procedure. The review of literature defined the four steps used in designing a personnel evaluation procedure and the analysis gave insight into how these steps were applied to our organization. The four step process begins with (1) establishing standards. This was done by examining the purpose of our evaluation

and matching it to our level of analysis. At this point we could write individual job descriptions aided by employee interviews and observation. (2) Recording actual performance involves continious observation during the entire evaluation period, providing employee feedback during the entire evaluation period and avoiding validity and reliability problems by focusing on specific components of performance. (3) Reviewing performance in light of standards requires the selection of a rating system. Although four rating systems were discussed, the behavior observation scales were chosen because of their appropriateness to our level of evaluation and their effectiveness in relation to other rating systems. (4) Determining corrective action involves developing a strong relationship between reward and performance.

The development of an employee orientation and training program and giving employees the basic tools to perform their jobs well was discussed. This was presented to ensure the understanding that before a person can be expected to perform a task well, he/she should be properly trained to perform that task.

Conclusions

1. The Personnel Policy Change Model used in this study was an effective tool to research, design and implement new personnel policies. The model also provides for effective monitoring to ensure personnel policies achieve their intended purpose. The model was designed to be transferable and the description of it's use in Chapter Two can greatly assist other organizations in implementing effective personnel polices.

2. A personnel policy includes many smaller policies that interrelate. The policy described included a progressive discipline policy, job descriptions, performance

evaluation, employee orientation and training checklists. Managers should write policies not only to help the organization function more efficiently, but to also educate employees about what these standards are and assist them in correction of substandard behavior. In the group home system studied, the employees were more than willing to accept standards and rules to go by, as long as these standards and rules were applied fairly. However, the employees did not know what the rules were because the organization had a very broad policy. The need to get a usable booklet to supervisors to assist them in the proper application of a discipline policy cannot be overstated. The supervisor's only concern in a disciplinary matter should be the event that has taken place. The policy should guide the supervisor's actions. This way, discipline can be applied in a fair and consistent manner. Employees should be fully aware of the rules included in the policy. New employees should have the policy explained to them during the orientation process.

3. Employee job descriptions, performance evaluations, training and orientation are all interrelated. It is very easy to come up with a job description without observing the employee doing the job, or asking the employee what he/she does. However, the value of the job description is related to employee effort and involvement in developing a job description. If an organization has developed a good orientation and training program, which is aided by accurate job descriptions, the development of a performance based evaluation system can be accomplished and will benefit both the organization and its employees. Most employees have the desire to be evaluated on what they actually do, not some global standards that are unrelated to job duties.

4. The development of any personnel policy requires support and input from all levels. A commitment to communication and understanding between employees and management is needed to make a policy understood and accepted. The recommendation for the group home system studied in this report is to adopt and implement the personnel policy shown in appendices one and two. Appendix one is the progressive discipline policy booklet for supervisors. Appendix two includes the developed job descriptions, job evaluation forms, employee orientation checklist and a training checklist. The group home system should insure that its program directors have a good knowledge of this policy and that current employees receive a thorough explanation of how the policy works.

RECOMMENDATIONS FOR FURTHER STUDY

1. The results of this study indicate a need for small grass roots organizations to ensure they have effective personnel polices that are effectively used. Further studies in this area should focus on determining on how many or "what percentage" of small healthcare organizations do not have effective personnel policies.
2. The results of this study suggest a usable model or tool to use when formulating personnel polices. This model should be made available to operators of other small healthcare organizations.
3. Further research should be conducted in other types of small health care facilities to determine effectiveness of the Personnel Policy Change Model.

STUDY CONTRIBUTION

This study was an effort to develop a personnel policy and tailor it to a specific group home system. The contribution to other group home management personnel is the steps used to develop the policy. It is hoped that other group home managers can improve or develop personnel policies that are tailored to their organizational needs after reading this study. The personnel policy shown in Appendices A and B can be made available to those organizations that could benefit from its use. This policy is being implemented in the group home system studied. Ultimately, if the organization or the group home runs more efficiently because of an improved set of personnel policies, the real winners will be the residents these organizations are designed to serve. Group home residents or patients deserve to grow and develop in a healthy environment fostered by good management.

APPENDIX A

GROUP HOME PERSONNEL POLICY

GROUP HOME PERSONNEL POLICY

This booklet is written to assist supervisors in using a progressive discipline

policy and evaluating their employees

The policy is divided into two parts;

Part one

Progressive discipline policy (Appendix A)

Part two

Employee feedback cycle, job descriptions and evaluations

(Appendix B)

PROGRESSIVE DISCIPLINE POLICY

Description of types of discipline

    Informal Counseling

    Formal Counseling

    Reprimand

    Automatic Dismissal

Progressive "steps" to correcting substandard behavior

Causes for disciplinary action

Possible causes for automatic dismissal

Formal counseling form

    Blank form

    Example of filled out form

Reprimand form

    Blank form

    Example of filled out form

Automatic dismissal form

    Blank form

    Example of filled out form

Progressive Discipline Policy

In order that employees fully understand their standing in the organization, Johnston County Group Homes Inc. has adopted a progressive discipline system for all of its employees, Progressive discipline is a system of warnings and punishments used to correct behavior of employees who perform below the standards needed to maintain in running a facility. At each level of the progressive discipline process, the employee is told what they did wrong, how it violated standards, what will happen if the performance occurs again, and is given suggestions on how to improve his/her performance in the future.

Informal Counseling;

Informal counseling takes place between an employee and supervisor on a day to day basis to correct minor problems with an employee's work performance. Many times this type of counseling will eliminate the problem before it becomes serious enough to warrant a formal counseling or formal reprimand. Informal counseling can be documented by the supervisor if desired (for his/her own record). The employee should not have to sign a document stating that the counseling took place and should not be led to believe that a record of the informal counseling will become a part of his/her record. The informal counseling should be done in a relaxed

atmosphere and should be looked upon by both the supervisor and the employee as a small adjustment used to correct a problem.

Formal Counseling;

A formal counseling is the least punitive formal measure to correct an employee's substandard behavior. A formal counseling is used to notify an employee of a problem before it becomes serious enough to warrant a reprimand. Formal counseling is only used for situations concerning sickness, tardiness and absenteeism. Formal counseling will be documented. Since formal counseling is the least punitive formal measure in correcting situations concerning sickness, tardiness and absenteeism, it should be used before a reprimand in attempting to correct undesired behavior.

Reprimand;

The reprimand is a written notification to an employee by a supervisor concerning the employee's substandard performance. The reprimand form serves as documentation that (1) A conference between the supervisor and employee has taken place concerning the employee's performance and (2) Serves to keep track of each employee's record of substandard performance. Reprimands are to be kept in an employee's file for at least one year. Any employee who receives a reprimand will receive a copy of the reprimand after talking with his/her supervisor.

Automatic Dismissal:

Automatic dismissal is an action, taken by the administrator, against an employee who knowingly endangers the safety and/or welfare of group home residents and staff. It will be used to officially notify an employee that he/she has been fired. The automatic dismissal will by-pass the ordinary steps of the progressive disciplinary process. The administrator will complete a form explaining what happened and who was involved. Witnesses will also sign the statement. One copy of the automatic dismissal will be placed in the former employee's file and another copy of the statement will be mailed to the former employee.

Progressive "steps" to correct substandard behavior;

1 Oral warning (informal counseling)

2 Written warning (formal counseling/written reprimand)

3 Suspension

4 Dismissal

One reprimand received by an employee within a six month period will be placed in the employee's file.

Two reprimands within a six month period will subject the employee to a possible two day suspension.

Three reprimands within a six month period will be cause for possible termination.

Any reprimand given to an employee by a program director should be reported to the administrator. Upon giving a second reprimand within a six month period to an employee, the administrator should be aware that; 1.) An employee will be suspended two days without pay. 2.) If this same person receives a third reprimand within a six month period, a possible firing decision will have to be made. The administrator should be aware of all the facts before endorsing the firing of an employee.

Causes for Disciplinary Action

1. Inefficiency or incompetence in the performance of duties.

2. Negligence in the performance of duties.

3. Careless, neglect, or improper use of group home property or equipment.

4. Failure to maintain satisfactory and harmonious working relationships with other employees and/or with the public.

5. Unexcused absence

6. Improper use of sick leave privilege.

7. Failure to report an on the job injury.

8. Failure to follow recommended procedures from the doctor when caring for a resident or while giving medication to a resident.

9. Participation in any action that would, in any way, seriously disrupts or disturbs operation of the facility.

10. Refusal to accept a reasonable and proper assignment from an authorized supervisor.

11. Insubordination

12. Sleeping on duty.

13. Failure to report to work at the assigned time and place

Possible Causes for Automatic Dismissal

1. Willful damage or destruction of property.

2. Willful acts that knowingly endanger the lives and property of others.

3. Reporting to work under the influence of intoxicants or illegal drugs and/or possession or partaking of such substances on the job.

4. Guilty of gross misconduct.

   a) Knowingly allowing residents to engage in sexual intercourse.

   b) Taking indecent liberties with residents (also subject to criminal action).

   c) Allowing a boyfriend or girlfriend to stay overnight.

5. Misuse/theft of group home's or resident's funds or property.

6. Unauthorized disclosure of confidential information from official records

FORMAL COUNSELING FORM

Employee's Name_____

Job Title_____

Employee's Supervisor_____

Work Area_____

What is expected of employee and why?

_____

_____

How has the employee not met the requirements of the job?

_____

_____

_____

Employee's explanation of actions or

failure:_____

_____

_____

 Supervisor's suggestions for

correction:_____

_____

_____

Date of Formal Counseling: _____

Employee's signature:_____Date:_____

Supervisor's signature:_____Date:_____

Administrator'ssignature:_____Date:_____

Supervisors, please be aware that a formal counseling can only be used in correcting

tardiness, absenteeism and sickness.

FORMAL COUNSELING FORM (sample)

Employee's Name <u>John Griff</u>

Job Title <u>weekend staff person</u>

Employee's Supervisor <u>Carol Jones</u>

Work Area <u>Group Home #2</u>

What is expected of the employee and why? <u>You are expected to be at work on time.</u>

How has the employee not met the requirements of the job?

<u>On Jan. 24, 1997, Jan 27, 1997 and Jan 30, 1997 you were at least ten minutes late to work</u>

Employee's explanation of actions or failure <u>My power went off during Jan, 24th. I left late for work the other two days.</u>

Supervisor's suggestion for correction <u>You should leave for work earlier to avoid being late. Continued tardiness may result in a reprimand.</u>

Date of formal counseling _____

Employee's Signature _____Date_____

Supervisor's Signature _____Date_____

Administrator's Signature

_____Date_____

Supervisors, please be aware that a formal counseling can only be used in correcting

tardiness, absenteeism and over use of sick leave.

REPRIMAND FORM

Employee's

name_____

Position_____

Employee's

supervisor_____

Work Area_____

Problems discussed _____

_____

_____

_____

_____

Employee's explanation of actions or failure_____

_____

_____

_____

 Plan of

correction_____

_____

_____

_____

_____

Date of Reprimand _____

Employee's signature_____Date_____

Supervisor's signature_____Date_____

Administrator's signature_____Date_____

REPRIMAND FORM (sample)

Employee's Name John Griff_____

Position Weekend Relief Person_____

Employee's Supervisor Carol Jones_____

Work Area Group Home #2_____

Problems Discussed You were scheduled to work from 7am to 2pm on Jan 16,

1998. I was given no notice that you could not work. When I called you at 10 am that

morning, you told me you did not feel like coming in, but you did not feel sick.____

Employee's explanation of actions or failure I tried to get the day off, but Carol

would not let me so I took it off anyway.____ _____

_____

Plan of correction You failed to report to work at the assigned time and place. This

is a violation of our group home policy and will subject you to a written reprimand.

Two reprimands within a six month period is possible cause for a two day

suspension. Three reprimands within six months may be cause for

termination_____

Date of Reprimand _____

Employee's Signature _____Date_____

Supervisor's Signature _____Date_____

 Administrator's Signature _____Date_____

AUTOMATIC DISMISSAL FORM

Employee's

Name_____

Former Position_____

Employee's

Supervisor_____

Work Area_____

Rule

Violated_____

_____

Description of circumstances

_____

_____

_____

_____

_____

_____

_____

_____

_____

Date of Automatic Dismissal _____

Employee's signature_____Date_____

Supervisor's signature_____ Date_____

Administrator's

signature_____Date_____

AUTOMATIC DISMISSAL FORM (sample)

Employee's Name John Griff_____

Former Position Weekend Relief Person_____

Employee's Supervisor Carol Jones_____

Work Area Group Home #2_____

Rule violated Willful damage or destruction of property_____

_____

Description of Circumstances On May 13, 1998, I asked John to wash the group

home van. He refused my request. When asked why he refused my request, John

yelled "To hell with you and your van". Then John picked up a large rock and

smashed it through the windshield of the van. He then jumped in his car and drove

away._____

Date of Automatic Dismissal_____

Employee's signature_____Date_____

Supervisor's signature_____ Date_____

Administrator's

signature_____Date_____

APPENDIX B

JOB DESCRIPTIONS AND PERFORMANCE EVALUATIONS

Contents

Performance Feedback Cycle

Job Descriptions

      Program Director

      Program Assistant

      Habilitation Technician

      Weekend Relief Manager

      Weekend Relief Personnel

Employee action log (day to day employee observation form

Job Evaluations

      Program Director

      Program Assistant

      Habilitation Technician

      Weekend Relief Personnel & Group Home Aide

Orientation Checklist

Training Checklist

PERFORMANCE EVALUATION

We will use three major tools in evaluating our employees:

1) **Accurate job descriptions** that indicate what our employees' jobs are.

2) **Employee feedback/action log**. A separate log kept on each employee to record day to day observations on performance. After an observation is noted on the action log, the corresponding item on the employee's job description should accompany the entry. Employees should then be given feedback on performance (shown the action log). This will provide an reference to the rater when completing the employee's performance appraisal. Feedback will allow employees to correct substandard behavior or take away excuses that "My boss never told me what I was doing is wrong". A graphical depiction of the feedback cycle follows;

Inital Feedback

Midcourse Feedback

Final Feedback

Begin Evaluation Period

End Observation Period

As the timeline indicates, Feedback is given throughout the evaluation period. Soon after supervision starts, an initial feedback session is given to make employees aware of what is expected of them. A midcourse feedback is given at the halfway point between when supervision starts and the employee is "rated" or officially evaluated. The final feedback is given at the end of the evaluation period. This feedback is designed to ensure employees understand the rational behind the ratings they will receive. The employee should get no surprises when they first look at the official evaluation. Evaluation periods, sometimes called reporting cycles, can be six months to a year long.

Feedbacks should be done in private. Supervisors should use the actual evaluation form employees will be rated on. The theme of the feedbacks should be, "If I had to rate you today, your rating would be…". Employees should initial or sign that they have received a feedback from their supervisor.

3) **Employee evaluation forms**. Behavior observation scales developed from employee job descriptions. Employee evaluations are to be completed once every six months by the employee's supervisor. Employees on probation will be evaluated at least once before their probation period is over.
Employee orientation and training checklists will be completed with new employees as soon as possible. This should give employees the basic knowledge to perform their job duties.

Job Description for the Program Director

Lives with residents at least two nights a week and is responsible for the following:

1. Sees that a normal atmosphere is provided appropriate to the needs of the residents.

2. Provides supervision to the residents and makes decisions about how to handle emergency situations.

3. Formulates individualized goal plans with each resident and provides training based on these goal plans.

4. Supervises and evaluates all staff that work in the home.

5. Maintains an individual chart on each resident and does all documentation as required by program standards.

6. Provides day to day counseling with residents appropriate to their program plan.

7. Keeps in close contact with families and encourages their participation when appropriate.

8. Sees that house and yard are properly maintained including necessary repair work and purchasing supplies.

9. Develops activities within the home that encourage resident interaction with each other and their community.

10. Acts as advocate for residents in protection of their legal rights.

11. Maintains close contact with the Administrator.

12. Provides or arranges transportation for residents where they need to go.

13. Ensures that accurate records of the petty cash fund are maintained

14. Maintains accurate records of residents' personal spending accounts.

15. Stays aware of residents' activities outside the home and interrogates these with their in-home activities as much as possible.

16. Helps arrange visitors to the home and for residents' visits outside the home.

17. Stays aware of resident's medications and assists other staff in administering it when necessary.

18. Provides back-up consultation to part-time and relief staff concerning program management.

19. Ensures the planning of resident's menus based on dietary needs.

20. Participates in conferences and in-service training as available.

21. Ensures the training and orientation of new staff members.

22. Completes other duties assigned by the Administrator.

23. Actively interacts with residents.

24. Has strong knowledge of residents' needs.

25. Attendance, can be counted on to be at work when scheduled.

26. Arrives at work on time.

27. Does not argue with supervisor in front of others.

28. When unsure about a problem, will discuss it with a supervisor.

29. Accepts change, is willing to try new ideas.

30. Delegates well, can assign important tasks to others.

<u>Minimum Requirements:</u>

Four year degree in Social Work, Special Education, Psychology, Sociology or

equivalent amount of appropriate experience in a residential facility.

Job Description for Programming Assistant

Works 40 hour week with hours being flexible and days worked changing from week to week (including weekend days). May be overnight on occasion, but not regularly scheduled overnight.

1. Responsible for carrying out activities with residents as planned with the program director and assisted by other staff.

2. Schedules all appointments for residents and transports them to appointments.

3. Assists in the training and orientation of new staff members.

4. Correlates grocery list with menu and purchases groceries.

5. Provides transportation to residents as requested by supervisor.

6. Assists with housekeeping and yard maintenance as requested by supervisor.

7. Carries out residents' goal plans.

8. Supervises residents when on duty and responds in emergency situations as directed by supervisor.

9. Maintains accurate records of petty cash fund.

10. Maintains accurate records of resident personal spending accounts.

11. Assists other staff in administering medication when necessary.

12. Provides consultation to part-time and relief staff concerning program management when the program director is unavailable.

13. Participates in conferences and in-service training as available.

14. Completes all other assigned duties assigned by the Program Director or Administrator.

15. Actively interacts with residents.

16. Has strong knowledge of residents' needs.

17. Attendance, can be counted on to be at work when scheduled.

18. Arrives at work on time.

19. Does not argue with supervisor in front of others.

20. When unsure about a problem, will discuss it with a supervisor.

21. Accepts change, is willing to try new ideas.

22. Delegates well, can assign important tasks to others.

<div align="center">

Minimum Requirements

</div>

Two years beyond high school in a human services curriculum or equivalent appropriate experience.

Job Description for Habilitation Technician

Lives with residents at least two nights a week and is responsible for the following:

1. Prepares meals for residents according to planned menus.

2. Responsible for seeing that resident laundry is done, either by doing it or assisting residents to do it when appropriate. (Washing, drying, folding, ironing).

3. Administers resident medications as prescribed and documents this in their chart.

4. Supervises residents when on duty and responds in emergency situations as directed.

5. Provides transportation to residents as requested by supervisor.

6. Carries out residents' goal plans.

7. Assists with housekeeping and yard maintenance as requested by supervisor.

8. Assists with residents' activities as needed.

9. Participates in conferences and in-service training as available.

10. Completes all other duties assigned by Program Director or Administrator.

11. Assists in the training and orientation of new employees.

12. Actively interacts with residents.

13. Has strong knowledge of residents' needs.

14. Attendance, can be counted on to be at work when scheduled.

15. Arrives at work on time.

16. Does not argue with supervisor in front of others.

17. When unsure about a problem, will discuss it with a supervisor.

18. Accepts change, is willing to try new ideas.

<div align="center">Minimum Requirements:</div>

Two years beyond high school in a human service curriculum or equivalent

experience.

Job Description for Weekend Relief Manager

Lives with residents during specified time during the weekend and is responsible for
the following:

1. Prepares meals for residents according to planned menus.

2. Supervises residents when on duty and responds in emergency situations as
    specified by supervisor.

3. Provides transportation to residents where they need to go.

4. Assists with housekeeping and yard maintenance as requested by supervisor.

5. Administers resident's medications as prescribed and documents this in residents
    charts

6. Carries out residents' goal plans

7. Does residents' laundry as necessary.

8. Communicates information to families and relays information to program director
    for families

9. Assists with residents' activities as needed.

10. Participates in conferences and in-service training as available.

11. All other duties assigned by Program Director or Administrator.

12. Actively interacts with residents.

13. Has strong knowledge of residents' needs.

14. Attendance, can be counted on to be at work when scheduled.

15. Arrives at work on time.

16. Does not argue with supervisor in front of others.

17. When unsure about a problem, will discuss it with a supervisor.

18. Accepts change, is willing to try new ideas.

19. Assists with the training and orientation of new employees.

Minimum Requirements:

Two years beyond high school in a human service curriculum or equivalent

appropriate experience.

Job Description for Relief Personnel

Lives with residents during specified times as requested and is responsible for the following:

1. Prepares meals for residents according to planned menus.

2. Supervises residents when on duty and responds in emergency situations as specified by supervisor.

3. Provides transportation to residents where they need to go.

4. Assists with housekeeping and yard maintenance as requested by supervisor.

5. Administers resident's medications as prescribed and documents this in resident's charts

6. Carries out residents' goal plans

7. Does residents' laundry as necessary.

8. Communicates information to families and relays information to program director for families

9. Assists with residents' activities as needed.

10. Participates in conferences and in-service training as available.

11. All other duties assigned by Program Director or Administrator.

12. Actively interacts with residents.

13. Has strong knowledge of residents' needs.

14. Attendance, can be counted on to be at work when scheduled.

15. Arrives at work on time.

16. Does not argue with supervisor in front of others.

17. When unsure about a problem, will discuss it with a supervisor.

18. Accepts change, is willing to try new ideas.

<u>Minimum Requirements:</u>

Two years beyond high school in a human service curriculum or equivalent

appropriate experience.

Job Description for Group Home Aide

Lives with residents during specified times as requested and is responsible for the following:

1. Prepares meals for residents according to planned menus.

2. Supervises residents when on duty and responds in emergency situations as specified by supervisor.

3. Provides transportation to residents where they need to go.

4. Assists with housekeeping and yard maintenance as requested by supervisor.

5. Administers resident's medications as prescribed and documents this in resident's charts

6. Carries out residents' goal plans

7. Does residents' laundry as necessary.

8. Communicates information to families and relays information to program director for families

9. Assists with residents' activities as needed.

10. Participates in conferences and in-service training as available.

11. All other duties assigned by Program Director or Administrator.

12. Actively interacts with residents.

13. Has strong knowledge of residents' needs.

14. Attendance, can be counted on to be at work when scheduled.

15. Arrives at work on time.

16. Does not argue with supervisor in front of others.

17. When unsure about a problem, will discuss it with a supervisor.

18. Accepts change, is willing to try new ideas.

<u>Minimum Requirements</u>:

Two years beyond high school in a human service curriculum or equivalent

appropriate experience.

EMPLOYEE ACTION LOG

_____   _____
        Name   Position

Date	+ -	Observations	Employee initials

EMPLOYEE ACTION LOG (sample)

John Griff   Programming Assistant
Name   Position

_____

_

Date	+ Observations Employee
	- initials

_

2/2/87 | - John did not give four p.m. medications to the residents until 4:35 p.m.

#11 | PAJD

2/28/87 | + John changed a flat tire on the group home van without being asked.

This saved the group home a service call charge #2 PAJD

3/5/87 | - John was 20 minutes late to work because of car problems. Since he is

usually on time, no disciplinary action will be taken. #18 PAJD

3/6/87 | + John worked an extra shift because another staff was sick. #8 PAJD

3/18 87 | + In the past two months, John has cut our shopping bill down by at least

$65 per month. #4 PAJD

Job Evaluation
Program Director

Name _____ Date_____
Time in current position _____

1. Sees that a normal atmosphere is provided appropriate to the needs of the residents.

Almost Always   5   4   3   2   1   Almost Never

2. Provides supervision to the residents and makes decisions about how to handle emergency situations.

Almost Always   5   4   3   2   1   Almost Never

3. Formulates individualized goal plans with each resident and provides training based on these goal plans.

Almost Always   5   4   3   2   1   Almost Never

4. Supervises and evaluates all staff that work in the home.

Almost Always   5   4   3   2   1   Almost Never

5. Maintains an individual chart on each resident and does all documentation as required by program standards.

Almost Always   5   4   3   2   1   Almost Never

6. Provides day to day counseling with residents appropriate to their program plan.

Almost Always   5   4   3   2   1   Almost Never

7. Keeps in close contact with families and encourages their participation when appropriate.

Almost Always   5   4   3   2   1   Almost Never

8. Sees that house and yard are properly maintained including necessary repair work and purchasing supplies.

Almost Always   5   4   3   2   1   Almost Never

9. Develops activities within the home that encourage resident interaction with each other and their community.

Almost Always   5   4   3   2   1   Almost Never

10. Acts as advocate for residents in protection of their legal rights.

Almost Always   5   4   3   2   1   Almost Never

11. Maintains close contact with the Administrator.

Almost Always   5   4   3   2   1   Almost Never

12. Provides or arranges transportation for residents where they need to go.

Almost Always   5   4   3   2   1   Almost Never

13. Ensures that accurate records of the petty cash fund are maintained

Almost Always   5   4   3   2   1   Almost Never

14. Maintains accurate records of residents' personal spending accounts.

Almost Always   5   4   3   2   1   Almost Never

15. Stays aware of residents' activities outside the home and integrates these with their in-home activities as much as possible.

Almost Always   5   4   3   2   1   Almost Never

16. Helps arrange visitors to the home and for residents' visits outside the home.

Almost Always   5   4   3   2   1   Almost Never

17. Stays aware of resident's medications and assists other staff in administering it when necessary.

Almost Always   5   4   3   2   1   Almost Never

18. Provides back-up consultation to part-time and relief staff concerning program management.

Almost Always   5   4   3   2   1   Almost Never

19. Ensures the planning of resident menus based on dietary needs.

Almost Always   5   4   3   2   1   Almost Never

20. Participates in conferences and in-service training as available.

Almost Always   5   4   3   2   1   Almost Never

21. Ensures the training and orientation of new staff members.

Almost Always   5   4   3   2   1   Almost Never

22. Completes other duties assigned by the Administrator.

Almost Always   5   4   3   2   1   Almost Never

23. Actively interacts with residents.

Almost Always   5   4   3   2   1   Almost Never

24. Has strong knowledge of residents' needs.

Almost Always   5   4   3   2   1   Almost Never

25. Attendance, can be counted on to be at work when scheduled.

Almost Always   5   4   3   2   1   Almost Never

26. Arrives at work on time.

Almost Always   5   4   3   2   1   Almost Never

27. Does not argue with supervisor in front of others.

Almost Always   5   4   3   2   1   Almost Never

28. When unsure about a problem, will discuss it with a supervisor.

Almost Always   5   4   3   2   1   Almost Never

29. Accepts change, is willing to try new ideas.

Almost Always   5   4   3   2   1   Almost Never

30. Delegates well, can assign important tasks to others.

Almost Always   5   4   3   2   1   Almost Never

_____

Employee Strengths (please comment on any ratings of 4 or 5)

_____

 Areas needing improvement (please comment on any ratings of 1 or 2)

_____

Evaluation completed by _____

Title _____ Date _____

Certification of employee
I have reviewed and discussed this evaluation. I understand that my signature does
not indicate my approval or disapproval but rather that the above information has
been reviewed with me.

Employee remarks _____

_____

_____

_____
_____

Score (if used) _____
Employee's signature_____Date_____

Supervisor's signature_____Date_____

Administrator's signature
_____Date_____

Job Evaluation
<u>Programming Assistant</u>

Name _____ Date_____

Time in current position _____

1. Responsible for carrying out activities with residents as planned with the program
   director and assisted by other staff.

Almost Always   5   4   3   2   1   Almost Never

2. Schedules all appointments for residents and transports them to appointments.

Almost Always   5   4   3   2   1   Almost Never

3. Assists with the training and orientation of new employees.

Almost Always   5   4   3   2   1   Almost Never

4. Correlates grocery list with menu and purchases groceries.

Almost Always   5   4   3   2   1   Almost Never

5. Provides transportation to residents as requested by supervisor.

Almost Always   5   4   3   2   1   Almost Never

6. Assists with housekeeping and yard maintenance as requested by supervisor.

Almost Always   5   4   3   2   1   Almost Never

7. Carries out residents' goal plans.

Almost Always   5   4   3   2   1   Almost Never

8. Supervises residents when on duty and responds in emergency situations as
directed by supervisor.

Almost Always   5   4   3   2   1   Almost Never

9. Maintains accurate records of petty cash fund.

Almost Always   5   4   3   2   1   Almost Never

10. Maintains accurate records of resident's personal spending accounts.

Almost Always   5   4   3   2   1   Almost Never

11. Assists other staff in administering medication when necessary.

Almost Always   5   4   3   2   1   Almost Never

12. Provides consultation to part-time and relief staff concerning program management   when the program director is unavailable.

Almost Always   5   4   3   2   1   Almost Never

13. Participates in conferences and in-service training as available.

Almost Always   5   4   3   2   1   Almost Never

14. Completes all other assigned duties assigned by the Program Director or Administrator.

Almost Always   5   4   3   2   1   Almost Never

15. Actively interacts with residents.

Almost Always   5   4   3   2   1   Almost Never

16. Has strong knowledge of residents' needs.

Almost Always   5   4   3   2   1   Almost Never

17. Attendance, can be counted on to be at work when scheduled.

Almost Always   5   4   3   2   1   Almost Never

18. Arrives at work on time.

Almost Always   5   4   3   2   1   Almost Never

19. Does not argue with supervisor in front of others.

Almost Always   5   4   3   2   1   Almost Never

20. When unsure about a problem, will discuss it with a supervisor.

Almost Always   5   4   3   2   1   Almost Never

21. Accepts change, is willing to try new ideas.

Almost Always   5   4   3   2   1   Almost Never

_____

Employee Strengths (please comment on any ratings of 4 or 5)

_____

Areas needing improvement (please comment on any ratings of 1 or 2)

_____

Evaluation completed by _____

Title _____ Date _____

Certification of employee
I have reviewed and discussed this evaluation. I understand that my signature does not indicate my approval or disapproval but rather that the above information has been reviewed with me.

Employee remarks _____

_____
_____
_____
_____

Score (if used) _____

Employee's signature_____Date_____

Supervisor's signature_____Date_____

Administrator's signature _____Date_____

Job Evaluation
Habilitation Technician

Name _____ Date_____

Time in current position _____

1. Prepares meals for residents according to planned menus.

Almost Always   5   4   3   2   1   Almost Never

2. Responsible for seeing that resident's laundry is done, either by doing it or assisting residents to do it when appropriate. (Washing, drying, folding, ironing).

Almost Always   5   4   3   2   1   Almost Never

3. Administers resident medications as prescribed and documents this in their chart.

Almost Always   5   4   3   2   1   Almost Never

4. Supervises residents when on duty and responds in emergency situations as directed by supervisor.

Almost Always   5   4   3   2   1   Almost Never

5. Provides transportation to residents as requested by supervisor.

Almost Always   5   4   3   2   1   Almost Never

6. Carries out residents' goal plans.

Almost Always   5   4   3   2   1   Almost Never

7. Assists with housekeeping and yard maintenance as requested by supervisor.

Almost Always   5   4   3   2   1   Almost Never

8. Assists with residents' activities as needed.

Almost Always   5   4   3   2   1   Almost Never

9. Participates in conferences and in-service training as available.

Almost Always   5   4   3   2   1   Almost Never

10. Completes all other duties assigned by Program Director or Administrator.

Almost Always   5   4   3   2   1   Almost Never

11. Assists in the training and orientation of new employees.

Almost Always   5   4   3   2   1   Almost Never

12. Actively interacts with residents.

Almost Always   5   4   3   2   1   Almost Never

13. Has strong knowledge of residents' needs.

Almost Always   5   4   3   2   1   Almost Never

14. Attendance, can be counted on to be at work when scheduled.

Almost Always   5   4   3   2   1   Almost Never

15. Arrives at work on time.

Almost Always   5   4   3   2   1   Almost Never

16. Does not argue with supervisor in front of others.

Almost Always   5   4   3   2   1   Almost Never

17. When unsure about a problem, will discuss it with a supervisor.

Almost Always   5   4   3   2   1   Almost Never

18. Accepts change, is willing to try new ideas.

Almost Always   5   4   3   2   1   Almost Never

Employee Strengths (please comment on any ratings of 4 or 5)

_____

Areas needing improvement (please comment on any ratings of 1 or 2)

_____

Evaluation completed by _____

Title _____ Date _____

Certification of employee
I have reviewed and discussed this evaluation. I understand that my signature does not indicate my approval or disapproval but rather that the above information has been reviewed with me.

Employee remarks _____
_____
_____
_____

Score (if used) _____

Employee's signature_____Date_____

Supervisor's signature_____Date_____

Administrator's signature _____Date_____

Job Evaluation
Weekend Relief Manager
Relief Staff

Name _____ Date_____

Time in current position _____

1. Prepares meals for residents according to planned menus.

Almost Always   5   4   3   2   1   Almost Never

2. Supervises residents when on duty and responds in emergency situations as specified by supervisor.

Almost Always   5   4   3   2   1   Almost Never

3. Provides transportation to residents where they need to go.

Almost Always   5   4   3   2   1   Almost Never

4. Assists with housekeeping and yard maintenance as requested by supervisor.

Almost Always   5   4   3   2   1   Almost Never

5. Administers residents' medications as prescribed and documents this in residents' charts

Almost Always   5   4   3   2   1   Almost Never

6. Carries out residents' goal plans

Almost Always   5   4   3   2   1   Almost Never

7. Does residents' laundry as necessary.

Almost Always   5   4   3   2   1   Almost Never

8. Communicates information to families and relays information to program director for families

Almost Always   5   4   3   2   1   Almost Never

9. Assists with residents' activities as needed.

Almost Always   5   4   3   2   1   Almost Never

10. Participates in conferences and in-service training as available.

Almost Always   5   4   3   2   1   Almost Never

11. All other duties assigned by Program Director or Administrator.

Almost Always   5   4   3   2   1   Almost Never

12. Actively interacts with residents.

Almost Always   5   4   3   2   1   Almost Never

13. Has strong knowledge of residents' needs.

Almost Always   5   4   3   2   1   Almost Never

14. Attendance, can be counted on to be at work when scheduled.

Almost Always   5   4   3   2   1   Almost Never

15. Arrives at work on time.

Almost Always   5   4   3   2   1   Almost Never

16. Does not argue with supervisor in front of others.

Almost Always   5   4   3   2   1   Almost Never

17. When unsure about a problem, will discuss it with a supervisor.

Almost Always   5   4   3   2   1   Almost Never

18. Accepts change, is willing to try new ideas.

Almost Always   5   4   3   2   1   Almost Never

_____
Employee Strengths (please comment on any ratings of 4 or 5)

_____
Areas needing improvement (please comment on any ratings of 1 or 2)

_____

Evaluation completed by _____

Title _____ Date _____

Certification of employee
I have reviewed and discussed this evaluation. I understand that my signature does
not indicate my approval or disapproval but rather that the above information has
been reviewed with me.

Employee remarks
_____
_____
_____
_____

Score (if used) _____

Employee's signature_____Date_____

Supervisor's signature_____Date_____

Administrator's signature
_____Date_____

The orientation checklist is given below.

1. Work station. Introduce the employee to his/her workstation and as many fellow employees as possible.
2. Working hours. Describe normal working hours and how time is recorded.
3. Rest rooms, locked cabinets, etc...
4. Transportation. Company vehicle policy, parking policy, mileage policy.
5. Pay status. Hourly rate, raise increments, pay periods, overtime policy.
6. Safety rules
7. Grievance policy
8. Absenteeism policy. Sick call procedures etc...
9. Employee has read all personnel policies.
10. Facility tour
11. Review of job description

Training Checklist

1) Can take temperature.

2) Has been instructed on how to give medicine.

3) Has been instructed on how to record medicine.

4) Understands fire evacuation procedures and knows location of fire extinguishers.

5) Understands commitment procedures.

6) Has good knowledge of residents' goal plans.

7) Understands confidentiality rules.

8) Has reviewed job description.

Trainee signature _____Date_____

Trainer signature _____Date_____

Upon completion of probationary period, I have reviewed and understand the above items.

Trainee signature _____Date_____

Appendix Three

Employee Job Description Interview Questionnaire

1. Duties
    What duties do you perform daily?
    What duties do you perform weekly of monthly?
    What duties do you perform at irregular intervals
2. Supervision
    How many people do you supervise?
    How much authority do you have?
    Can you correct, discipline, give promotions, settle grievances etc...?
3. What contacts outside of the company are you required to make?
    Their titles?
    Nature of these contacts?
4. Decisions
    What decisions do you have to make without consulting your
    supervisor?
5. Responsibility
    Describe the nature of your responsibility to the organization
6. Records and Reports
    What records do you prepare?
    What is the source of this data?
7. Checking of your work
    How is your work checked?
    Who checks it?
8. Job Hazards
    Describe Job Hazards
9. Present Job description

Looking at your present job description,

1. Are there duties listed you do not do?

2. Are there duties you perform that are not listed?

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