

6 EMPLOYEE DEVELOPMENT AND PERFORMANCE

6.1 TRAINING AND DEVELOPMENT

6.1.1 PURPOSE AND SCOPE

- A. Enhancing the skills and knowledge of TWC employees is vital to expanding and improving TWC services. Employees and supervisors share responsibility for developing new skills and improving existing skills.
- B. TWC encourages and provides opportunities for self-development through on-the-job training; a tuition reimbursement program; the performance review process; and the development, coordination, and delivery of training courses.
- C. Training is only one component that contributes to acquiring and improving performance skills. Training builds on learner readiness, imparts knowledge and skills, and can influence attitudes. Training offers structured opportunities to practice skills and receive feedback. Mastery of key learning points and skills occurs when participants perform job duties with supervisors providing reinforcement, measuring performance, and providing additional coaching or mentoring as needed.

6.1.2 TRAINING AND DEVELOPMENT POLICY

- A. The value of TWC to employers and job seekers and our success as public servants depends on the effectiveness and efficiency with which we carry out our responsibilities. Because each individual is ultimately responsible for self-development and becoming an increasingly effective member of TWC, management at every level understands the benefit of training as an investment in our system. Managers and supervisors provide the climate, conditions, and direction for job-related development of staff, while training specialists supplement the supervisor's role.
- B. To implement this philosophy, TWC provides well-planned, well-coordinated training and uses the most appropriate and current methods available. To ensure this happens, TWC:
1. communicates information about training and development to all employees;
 2. develops managers and supervisors to understand, accept, and know how to fulfill their basic responsibility to train subordinates;
 3. approaches training with clearly identified needs and measurable, practical training objectives;
 4. maintains a professional training staff responsible for reviewing technology,

methodology, and media to keep TWC current with new developments in the training field;

5. adopts a clearly understood procedure that budgets, accounts for, and reports the time and cost of all training;
6. implements systematic, proven methods for assessing job performance and training effectiveness in improving that performance;
7. creates an organizational climate that encourages, recognizes, and rewards planning and implementation of training to promote cross-utilization of staff among program areas and departments; and
8. develops and uses subject-matter experts and program specialists when creating training courses.

6.1.3 TRAINING AND DEVELOPMENT (T&D) DEPARTMENT

The T&D Department provides the following services:

- A. develops facilitator guides and training materials on professional development topics;
- B. provides training consultant services such as customized projects, including assessments of training needs; and help with planning, developing, purchasing, delivering, and evaluating training programs and materials;

- C. plans, develops materials for, schedules, coordinates, and delivers training workshops for TWC staff, local workforce development boards, board staff, and contractor staff; and
- D. provides traditional training and train-the-trainer workshops for workforce center staff.

6.1.4 TRAINING CATEGORIES

TWC classifies all training as either reportable or non-reportable.

- A. Reportable Training
 - 1. Reportable training is any planned or structured training program or activity delivered for the purpose of increasing a participant's knowledge, skills, and abilities in response to a specific need, such as customer service training, seminars provided by an outside organization, consultant, TWC training professionals, or internal subject-matter experts.
 - 2. Reportable training programs, seminars and workshops must meet the following requirements:
 - a) be a minimum of 30 minutes long;
 - b) have at least one specific training objective; and

- c) provide an established learning outline or lesson plan.

3. On-the-Job Training (OJT)

On-the-job training (OJT) is a planned, structured training or retraining activity provided by a supervisor/mentor to an individual employee in response to a specific need. OJT has an identified goal of teaching or improving an employee's knowledge or skill level in performing a specific job assignment (e.g., one-on-one instruction, demonstration, and/or practice of specific methods of performing one or more task(s) of a job).

4. Internal Training

Internal training includes reportable training developed and conducted by agency personnel, training professionals, or private consultants, with a majority of the participants being TWC employees.

5. External Training

- a) External training (referred to as professional training in the CAPPS system) includes reportable training received through seminars and employee participation in TWC's Professional Development Program (PDP).

- b) In addition to seminars, PDP activities include workshops and academic institution training where the majority of attendees are non-TWC employees. Department heads review and approve all requests, registration, and expenses incurred with external training programs. Approving authorities must document that the approved external training is more cost-effective than internal training or that internal training is not available.

6. Computer-based and Web-based Training

- a) Computer-based training (CBT) is training done on a computer. Web-based training is training done on the intranet or Internet.
- b) The CAPPS system is used to document reportable training, reportable OJT, computer-based training, web-based training, and internal and external training.

B. Non-Reportable Training

Non-reportable training is an unstructured, unplanned, or spur-of-the-moment activity or meeting where sharing of information occurs (e.g., staff meetings or conferences that have no planned or written agenda, distributing or reading of

memoranda, giving a suggestion or advice to an employee during a conversation, or exchanging information in an informal atmosphere).

6.1.5 MANDATORY AND RECOMMENDED TRAINING

A. Mandatory Training

The agency expects employees to participate in the following legally required or mandatory training classes including:

1. Migrant and Seasonal Farm Worker (MSFW) – Required annually for local offices and semi-annually for all designated MSFW offices.
2. Equal Employment Opportunity (EEO) Training – Required biennially. “Diversity, EEO, and Discrimination Prevention CBT,” must be taken to fulfill this requirement. ([T & D Catalog](#), page 123). The policy will be distributed within 30 days of hire and as the personnel manual is updated.
3. Customer Relations and Complaint Resolutions CBT. ([T & D Catalog](#), page 122). Required one time for all TWC employees.
4. Fraud Awareness Training CBT ([T & D Catalog](#), page 124)– Required every other year for TWC employees in **Finance, UI, Customer Care, Procurement and Contract Services, VR,**

and FDCM. All other TWC employees are required to take the training one time.

5. TWC New Employee Orientation CBT. ([T & D Catalog](#), page 126)– Required within 30 days of hire date. Includes EEO and Sexual Harassment training. The policy will be distributed within 30 days of hire and as the personnel manual is updated.
6. Texas Hazard Communication Act (HazCom) Procedures – Section 502.009(f) requires all new employees to receive training before the employee works with or in a work area containing a hazardous chemical.
7. [Driver Safety Training](#) – Required annually for all fleet drivers.
8. TWC Ethics Training CBT. ([T & D Catalog](#), page 126)– Required one time for all TWC employees.
9. Cybersecurity Awareness at TWC – CBT ([T & D Catalog](#), page 122)– Required within 30 days of hire date and required annually for all TWC employees.
10. ADA Overview and Amendments Act of 2008 for Supervisors (ADA09) – CBT – One time only requirement for all TWC supervisors and managers.

11. Family Violence as it Affects Employment – One time training requirement for staff who: provide information to clients seeking or receiving financial assistance; recommend or grant waivers or modifications; recommend or impose sanctions for non-cooperation or non-compliance; assess employment readiness; and provide employment planning or employment retention services.
12. IRS Information Security (AIRSIS) – CBT – Required annually as part of TWC’s agreement with the Internal Revenue Service (IRS) for the exchange of Federal Tax Information (FTI). FTI is defined as tax information that originates from the Internal Revenue Service tax records, such as 1099 data. Any TWC employee, contractor, vendor, etc. is required to complete a training program directly related to their exposure to FTI.
13. Continuity of Operations Planning CBT (TWCOOP) – A one-time only requirement for all TWC employees.
14. Workers’ Compensation Health Care Network Training – a one-time only requirement for all TWC employees.
15. Family Education Rights and Privacy Act (FERPA) – CBT – A one-time only requirement for staff who work in or oversee programs in

Texas that are funded by the Adult Education and Family literacy Act.

16. Advanced Personally Identifiable Information Training: A managers Guide to Protecting PII – CBT – A one-time only requirement for all TWC supervisors and managers.
17. Resource Access Control Facility (RACF) Part I and Part –II – CBTs – A one-time only requirement for designated RACF managers who administer user access for the TWC mainframe and related applications.
18. Records Management Basic Training - CBT – A one-time only requirement for TWC Records Management Center Staff and all Records Management Liaisons in TWC.
19. Hiring Smart: The TWC Process – for Directors, managers, supervisors, anyone involved in the hiring process.
20. CAPPS Separation – CBT – any manager whose action or inaction results in overpayment to a departing employee, as determined by HR.

B. Recommended Training

The agency recommends employees participate in certain administrative classes including:

1. Supervisory Skills Development training – Recommended of all new supervisors.
2. Management Development Program training series – Recommended of all new managers, supervisors and team leads. (See the Form P-56a: Training Plan for Supervisor form.)
3. Supervisory EEO Training – Recommended within first 6 months of hire for supervisors and managers or designated team leads.
4. Performance Planning and Review (PPR) Training – Recommended for TWC supervisors within 90 days of selection or promotion to a supervisory position.
5. Health and Safety – Recommended quarterly.
6. Rapid Process Improvement (RPI) Training – Recommended for all TWC employees.
7. Introduction to Electronic and Information Resources (EIR) Accessibility training – Recommended for all TWC employees.

6.1.6 PROFESSIONAL DEVELOPMENT PROGRAM (PDP)

TWC is committed to being an entrepreneurial, flexible organization dedicated to helping its employees achieve high quality performance through education and training.

- A. TWC professional development programs are designed to provide employees with training and

development opportunities to pursue educational training from an accredited institution of higher education, and to obtain and maintain professional credentials. Approval will be considered if such training enhances the employee's ability to perform current job duties, enables the employee to perform prospective job duties, and is relevant to the employee's future career goals with the agency.

B. Tuition Assistance Program

TWC provides support in the form of tuition assistance for eligible employees seeking self-improvement through college-level courses and standardized knowledge exams. Under the Tuition Assistance Program (TAP), TWC may only pay the tuition expenses for a program course successfully completed by the employee at an accredited institution of higher education with approval of the Executive Director. This includes traditional courses and nontraditional training (including online courses or courses not credited towards a degree).

1. Eligibility

To be eligible for Tuition Assistance Program (TAP), employees must:

- a) Be continuously employed at TWC for one year at the time of application;
- b) Be a full-time regular status employee;

- c) Maintain satisfactory job performance as documented in the current PPR; and
 - d) Have no disciplinary action during the six months prior to applying for TAP.
- 2. While participating in TAP, employees may apply for and accept other positions within the agency. Transferring to another position or to a different division does not invalidate the participant's eligibility for tuition reimbursement.
- 3. Eligibility Exclusions: Employees in part-time, temporary, probationary, or emergency status are not eligible for participation in TAP. Employees on Administrative Probation, Absent Without Leave (AWOL), or on Leave of Absence (LOA) are not eligible for TAP.
- 4. Requirements

An employee participating in TWC's Tuition Assistance Program shall:

 - a) maintain a satisfactory grade of "C" or better for undergraduate courses or courses not credited towards a degree, "B" or better for graduate courses, or "passing," if a pass/fail activity; and
 - b) observe and comply with all TWC policies and work rules.

5. Conditions of Participation
- a) TWC may deny an employee further participation in a professional development program if the employee fails to meet performance, program, or academic requirements and expectations, or if TWC determines that participation is no longer in the agency's best interest.
 - b) Participation in the TWC TAP is not a contract for any duration of continued employment, and the employee is guaranteed no special rights or privileges in addition to those granted to other TWC employees. Continued employment is subject to the same policies and employment practices that govern all TWC employees.
 - c) An employee participating in the TAP must agree in writing, prior to the coursework or beginning of an exam, to a service commitment to the agency. An employee who receives reimbursement is obligated to fulfill a 6-month service commitment with the agency for every \$2,500.00 of reimbursement. The commitment will begin on the first day of the month following TWC's payment of the expense.

- d) Employees who do not comply with the length of service requirement must reimburse TWC for both the cost of training activities, (prorated to credit any full calendar month of employment following completion of the course), and any reasonable expenses incurred by TWC in obtaining restitution, including reasonable attorney's fees.
- e) Employees approved for TAP may flex their work schedule with the approval of their supervisor if there is no negative impact on customers or work products. Employees may not use work hours for attending classes, studying, taking exams or other activities associated with their coursework or exam. When such activities fall within an employee's normal work schedule, the employee must use leave hours to compensate for time away from the job.

6. Reimbursement for TAP

If department funds are available and the employee meets the eligibility criteria and successfully completes a TAP activity, TWC will reimburse the employee for the following:

- a) Tuition;

- b) expense of training materials; and
 - c) professional review, preparation or testing costs at institutions of higher education.
 - d) professional credentials, plus one retake of each exam.
7. Reimbursement Conditions for TAP
- a) An eligible employee may be reimbursed after course completion up to an amount equivalent to the average semester hour cost for Texas public colleges and universities as reported annually by the Texas Higher Education Coordinating Board. The participant will be responsible for paying the difference in the cost.
 - b) The maximum reimbursement to any employee, regardless of the professional development approved source, is \$5,000 per state fiscal year (September 1 through August 31).
 - c) Employees who participate in a review course in preparation for a professional certification examination may not be reimbursed for the review or preparation course unless the employee passes all parts of the related examination.

d) The TAP funds may not duplicate any other educational grant or benefits for the requested activity. In addition, the following activities are not eligible for reimbursement:

- (1) parking fees;
- (2) refundable property deposits;
- (3) late fees; and
- (4) mileage and travel expense for local programs.

8. Service Requirements for TAP

a) Because the goal of TWC's Professional Development Program is to attract and retain a well-qualified, trained workforce, an employee who receives reimbursement under the TAP is expected to continue in employment with the agency for a minimum of six months for every \$2,500.00 in reimbursement. The commitment will begin on the first day of the month following a reimbursement. Multiple, overlapping service commitments will be served concurrently.

b) If the employee voluntarily separates from TWC prior to the completion of the

obligatory service period(s), the employee must reimburse TWC for the cost of the professional development grant, prorated to credit any full calendar month of employment following completion of the approved activity.

- c) If an employee fails to meet the service requirements cited previously, the department head is responsible for notifying the General Counsel's office and initiating restitution proceedings.
- d) TWC's Executive Director may waive an employee's reimbursement requirements because of an employee's extreme personal hardship or if it is determined to be in the best interest of TWC.

9. Application and Review Guidelines for TAP

a) Application Procedure

An employee requesting reimbursement from the Tuition Reimbursement Program must seek written **pre-approval** at least two weeks prior to registration or enrollment by completing and submitting a [Form P-99, Tuition Reimbursement Program Application](#), through supervisory channels for review and approval by the employee's

department head, department budget analyst, division director and TWC's Executive Director.

b) Review Procedure

Upon receipt of a completed TAP application, the department head ensures an up-to-date Employee Development Plan (EDP), has been completed for the employee, and attaches a copy of the EDP to the employee's [Form P-99, Tuition Reimbursement Program Application](#). The department head reviews each TAP application using the following process, to ensure equitable and effective use of training and development funds:

- (1) Are training and development funds available within the department's budget to support the request? If yes, proceed with an evaluation of the application.
- (2) TAP Application Evaluation: Does the training enhance the employee's ability to perform current job duties or enable the employee to perform prospective job duties with the department or the agency following the training?

- (3) If both of the above questions are answered in the affirmative, proceed with the TAP approval process.
- (4) If the request is disapproved, the department head documents the basis for the disapproval and forwards Forms P-99 and the EDP to the Training and Development Department.
- (5) If the request is approved, the department head documents the basis for the approval and forwards Forms P-99 and the EDP to the department's budget analyst for approval. The budget analyst completes the [Form P-99, Tuition Reimbursement Program Application](#) and forwards it to the Training and Development Department for review. The Training and Development Department, if training aligns with the EDP must forward the request to the Executive Director for final approval. If the Executive Director disapproves of the request, the Executive Director notifies the appropriate department head and

forwards the [Form P-99, Tuition Reimbursement Program Application](#) to Training and Development with a copy going to the requesting department.

- (6) Training and Development's review includes the following:
- a. analyzing and identifying specific training and development needs,
 - b. whether training needs can be enhanced with in-house training or through training and development support; aiding in the selection of an institution of higher education, if appropriate; and
 - c. maximizing group discounts, if available.
- (7) If the PDP application is disapproved by the department head, Training and Development may recommend alternative activities and resources to support the requested staff development.

(8) Within five working days of receipt, the Training and Development Department completes its review and returns copies of the completed Form P-99 to the employee and department head for appropriate action.

(9) Reimbursement Procedure

Upon satisfactory completion of TAP-approved activities at an accredited institution of higher education, an employee requests reimbursement by submitting the following documents through supervisory channels to the department head:

- a. approved [Form P-99, Tuition Reimbursement Program Application](#) and
- b. official grade report (or copy) or other documentation that indicates satisfactory completion of the activity.
- c. Satisfactory completion means completing the approved activity with a grade of "C" or better for undergraduate courses and courses not credited towards

TEXAS WORKFORCE COMMISSION
PERSONNEL MANUAL
CHAPTER 6 - EMPLOYEE DEVELOPMENT AND PERFORMANCE

- a degree, "B" or better for graduate courses, or "passing," if a pass/fail activity or testing/certification activity.
- d. A testing or certification review course must result in an employee passing all parts of the related examination. Other documentation may include a signed statement or certificate of completion from the school or instructor and a detailed receipt for the actual cost of the approved activity.
- e. The department head forwards the approved [Form P-99, Tuition Reimbursement Program Application](#) to the Finance Department, Accounts Payable Unit, with the following attachments:
- i. employee's official grade report or other documentation and
 - ii. detailed receipt of the employee's allowable, reimbursable expenses related to the approved activities.

6.1.7 OBTAINING PROFESSIONAL CREDENTIALS AND
MAINTAINING CONTINUING PROFESSIONAL EDUCATION
REQUIREMENTS

To promote professionalism within TWC, the agency provides support to employees to obtain and maintain outside credentials, certifications, memberships, training, and education related to their job duties or prospective duties. For example, some state board-licensed professions, such as attorneys, certified public accountants, human resources professionals and project management professionals, require continuing professional education (CLE, CPE, etc.) hours per year to maintain licenses.

- A. If the employee intends to incur costs of outside credentials, certifications, memberships, training, or education directly related to his or her job duties or prospective duties at TWC, management may approve the request and pay for the expenses through that administrative area's training budget. With administrative approval, TWC pays costs, including travel and per diem.

- B. If employees meet eligibility criteria outlined in the Tuition Assistance Program, TWC may also approve reimbursement of preparatory coursework and examination to obtain professional credentials with chapter groups, independent consultants, or certified testing centers. TWC will reimburse for professional credential exams, plus one retake of each exam.

- C. If the employee takes courses not directly related to his or her job duties at TWC, but which enable the employee to maintain the professional license, the employee pays all costs.
- D. The Executive Director (or designee) may, upon request, grant administrative leave necessary for course attendance. Management recommending administrative leave for this purpose forwards the request to the appropriate Division Director. The Division Director forwards approved requests to HR for Executive Director (or designee) review and final approval.
- E. TWC does not pay out-of-state bar dues unless an exception is granted by the Executive Director.

6.1.8 TRAINING TRACKING SYSTEM

- A. Purpose of the System
 - 1. The training tracking system is an automated system in CAPPS that records individual employee training and provides a training database. The database generates a wide variety of reports.
 - 2. Management commonly uses the system as a tool to track and report program, department, unit, and overall agency training activities. The system also provides a list of training topics and training hours for each employee, unit, or office. Some supervisors use the

reports and data during career development and performance review conferences.

B. Mandatory Training Monitoring

1. The CAPPs system has a built-in compliance system to monitor employee mandatory training compliance. This system includes:
 - a) The CAPPs Employee Compliance Check screen, where employees can check their mandatory training status;
 - b) The Employee Training Compliance screen for supervisors and managers to check the mandatory training status of employees;
 - c) Automatically generated warning e-mails sent to employees whose mandatory training is not completed before the expiration date; and
 - d) Automatically generated e-mails sent to supervisors and managers regarding non-compliant employees.
2. To ensure accuracy and completeness of the training tracking system, all reportable training programs and activities must be entered in the CAPPs training tracking system. CAPPs tracks both individual and group training activities.

- C. What information should be entered in CAPPS?
1. CAPPS has four different panels for entry of training registration and attendance data:
 - a) registering for existing Training and Development classes;
 - b) reporting completion of web-based training;
 - c) reporting individual attendance at external training classes; and
 - d) reporting training conducted by TWC staff other than Training and Development staff.
 2. Refer to the CAPPS Desk Aids for specific instructions on accessing and entering training tracking information.

D. Calculating or Designating Reportable Training Hours

The minimum reportable training period is one-half hour. Reportable class hours should reflect the actual hours of classroom time exclusive of travel and meals.

1. Training and Development Training: The person attending the training gets supervisor approval then registers through CAPPS Self-Service screens. The Training and

Development Department enters the completion information into CAPPS.

2. Departmental Training: The person developing, providing, or coordinating an internal training session determines and ensures entry of training hours in each participant's training tracking system record. The internal training provider also records on or attaches to the CAPPS form a course outline or lesson plan with at least one training objective.
3. Web-Based Training: Web-based training is entered by the employee into CAPPS after completion of the training.
4. External Training: Because of the great variety of external seminars, workshops, academic classes, and training programs attended by TWC employees, establishing reportable training hours is usually a shared responsibility between the participant and the participant's supervisor. They jointly discuss and decide the number of reportable training hours. This process is also recommended for PDP training and classes.

6.1.9 BUDGETING, APPROVING, AND MONITORING AGENCY TRAINING COSTS

- A. Each cost center has a separate training budget for employee training and development expenses and is

responsible for approving and monitoring its own training costs.

- B. As a general rule, the cost center sponsoring and/or providing a training session or program absorbs the training expenses. Administrative staff, at times, assigns training expenses to the cost center whose employee(s) are receiving the training.

6.1.10 TRAINING BUDGETS

The cost center training budgets are established through the budget process. The budget report lists all current and cumulative (year-to-date) training costs and compares the cumulative expenditures to the budgeted amount.

6.2 CAREER DEVELOPMENT

6.2.1 PROCESS

- A. The career development program uses the Employee Development Plan (EDP), to chart a plan for the employee's development. The EDP process follows:
 1. thirty days before the employee's scheduled performance review, the employee reviews the EDP in CAPPS PPR Current Document;
 2. the employee reviews the appropriate sections and advises the supervisor of any changes;
 3. the supervisor reviews the employee's goals and responses and completes the supervisor's

- sections (before, during, or after the performance review interview); and
4. the supervisor counsels with the employee regarding career goals and development during the performance review. At that time, the supervisor reviews the employee's goals and discusses additional training and/or experience needed to accomplish the goals.
- B. Among items that the supervisor might discuss with the employee are:
1. TWC Classification Plan use;
 2. academic and professional development training programs and professional association training opportunities;
 3. OJT (on-the-job training) that might enhance opportunities;
 4. minimum qualifications review process;
 5. request for transfer process; and
 6. internal job posting procedure.
- C. Employees may update their career development goals at any time by requesting and completing an EDP.
- D. The supervisor completes the EDP in CAPPS along with the employee's performance review.

6.2.2 REQUESTS FOR MINIMUM QUALIFICATIONS REVIEW

- A. To verify that the employee meets the minimum qualifications of a particular classification, the employee or supervisor submits a [Form P-7, Request for Verification of Minimum Qualifications](#) to HR.
- B. Upon receipt of Form P-7, HR reviews employees' qualifications to determine if they meet the minimum qualifications as set by the classification plan. HR notifies employees of the determination.
- C. Minimum qualification determinations become invalid if the minimum qualification specifications for a classification change. Employees should submit Form P-7 to request a new determination when specifications for a classification of interest change.

6.2.3 TRANSFER REQUESTS

- A. Employees may direct their careers by requesting a transfer from the present work assignment to another. The transfer may be lateral (at the salary group with the same minimum salary) or a demotion (to a salary group with a lower minimum salary). Only regular status employees may request a transfer. Employees currently on administrative probation are not eligible to request a transfer. Transfers may be inside or outside the assigned department.

- B. The employee desiring a transfer completes a [Form P-30, Transfer Request for Non-Posted Jobs](#) (refer to Form P-30 Instructions). To ensure the best opportunity for transfer, the employee should review the [TWC Classification Plan](#) job specifications for the position desired and elaborate on his/her knowledge, qualifications, skills, and abilities relative to the position desired. If needed, the employee may use attachments.
- C. The employee completes a separate Form P-30 for each office or department to which he/she desires transfer.
- D. An employee who receives a transfer as a result of a Form P-30, transfers at his/her own request and convenience and is not eligible for any transfer benefits, unless the Executive Director determines the transfer is in the agency's best interest.
- E. Responsible management determines acceptance of a request for transfer. Refer to the [Staffing and Organization, Section 2](#) of this manual for additional information regarding internal transfers.

6.2.4 SUCCESSION PLANNING

Each division is required to develop and maintain a succession plan.

6.2.5 CAREER LADDER

Divisions are required to develop and maintain a career ladder (path) for each classification being used in their area in order for employees to advance their career growth with TWC. Fair and obtainable criteria for career ladder promotion eligibility will be established.

6.3 PERFORMANCE PLANNING AND REVIEW (PPR)

For those offices participating in the Texas Model, each board may authorize development and implementation of a uniform performance appraisal system for use by workforce partners including agency employees in the LWDA. The system must meet statutory obligations and must include:

- A. Objectives
1. To provide clearly defined performance expectations based on measurable job tasks related to employee's current job description;
 2. To ensure employees are aware of what is expected of them in the performance of duties;
 3. To encourage face to face discussions about how the employee is doing in terms of job performance;
 4. To express appreciation for outstanding work and discuss areas where improvement is needed; and
 5. To provide a tool and forum for planning and implementing a variety of personnel decisions, such

as promotions, reclassifications, merit increases,
training, and career development.

B. Guiding Principles

1. Performance appraisal system includes ALL employees (temporary employees excluded);
2. Employees share responsibilities in setting goals and exhibiting professional conduct;
3. Performance appraisal documents are a communication and evaluation tool containing:
 - a) Job description;
 - b) Measurable job tasks; and
 - c) Performance expectations.
4. Performance expectations are communicated prior to the review period;
5. Performance appraisals must be conducted annually at a minimum.

6.3.1 PHILOSOPHY AND OBJECTIVES

- A. The Performance Planning and Review (PPR) process has its foundation in TWC's Code of Ethics, and its objectives support and promote performance improvement and growth for the Commission and its employees. Its key objectives are:

TEXAS WORKFORCE COMMISSION
PERSONNEL MANUAL
CHAPTER 6 - EMPLOYEE DEVELOPMENT AND PERFORMANCE

1. To provide clearly defined performance expectations based upon the employee's current job description to ensure that the employee is made aware of what is expected of him/her;
 2. To encourage supervisors and employees to have face-to-face discussions about how the employee is doing in terms of job performance;
 3. To express appreciation for outstanding contributions and performance;
 4. To discuss performance areas where performance improvement is possible or needed to outline plans for improving performance; and
 5. To provide a tool and forum for planning and implementing personnel decisions such as promotions, reclassifications, merit increases, training, and personal or career development.
- B. The PPR process is much more than a once-a-year talk with a supervisor. It is a regular communication between supervisors and employees about priorities, deadlines, schedules, work performance, problems, work strategies, accomplishments, and recognition.

6.3.2 GUIDING PRINCIPLES

The effectiveness of the PPR process depends on the support of managers and employees. Personal commitment, involvement, and support from each TWC employee assures its usefulness. The following guidelines promote and assure employee involvement:

- A. The PPR process includes all positions except temporary ones.
- B. Employees share responsibility in setting their performance goals, in working efficiently and creatively in achieving them, and by responding professionally to feedback and coaching from managers/supervisors.
- C. A PPR consists of documentation that describe position duties, tasks, and expected performance. Management uses PPR information for organizational planning, staffing, and recognition of employee accomplishments.
- D. PPR documentation is a communication and evaluation tool. They include a job description, job duties, responsibilities, and performance expectations.
- E. Performance expectations are *situational* and are co-determined or identified during supervisor/employee discussion at the beginning of the review period or as a *situation* changes (i.e., job restructuring, project completion, changes in project priority).

- F. Supervisors assess and document performance on agreed upon job duties, job functions, and core dimensions and base their evaluations on an employee's demonstrated overall performance.
- G. An employee does not have to do everything listed in a core dimension description to achieve the Good rating. All employees are expected to follow the Core Dimensions when exercising their duties.
- H. Every job duty, function, and core dimension is subject to the full rating scale.

6.3.3 KEY COMPONENTS OF THE PPR PROCESS

Key components consist of:

- A. Commissioner and Executive on-going support and practice of PPR's objectives;
- B. regular and meaningful involvement of each employee;
- C. accurate job descriptions, job duties, core dimensions, and performance expectations which are tied to the agency's goals;
- D. regular supervisor/employee discussions about performance;
- E. employee development plans that describe employee strengths, skills, and/or performance improvements expected or desired; and

- F. regular management analysis and use of information to plan for performance and effectiveness improvements within units, departments, and divisions.

6.3.4 PERFORMANCE SCHEDULE

- A. Regular Employees
 - 1. Performance reviews usually cover a one-year period. The review year begins with the employee's start date with TWC and ends 12 months later. After conducting the review, the PPR is reviewed by Human Resources and included in the employee's personnel file. A supervisor has 30 days past the end date to complete the PPR before it is considered late.

TEXAS WORKFORCE COMMISSION
PERSONNEL MANUAL
CHAPTER 6 - EMPLOYEE DEVELOPMENT AND PERFORMANCE

Below is an example of when a PPR is due based on the TWC start date of the employee.

TWC Start Date	Annual Review and Reporting Period	Due Date—CAPPS
9-15-21	9-15-21 to 9-14-22	No later than 10-14-22

2. All TWC employees should be evaluated using the PPR module in CAPPS.
3. Division Directors and their direct reports can substitute a memorandum regarding annual performance in place of the PPR form for staff reporting to them with prior approval from the HR Director.

B. Optional Schedule

1. Departments may use an optional review schedule when evaluating certain jobs for reasons such as the availability of reports, contract periods, or program year. The optional schedule results in a one-year review period not based on the employee's longevity date.

For example, department heads evaluate managers on a program year, a period from September 1 to August 31. Responsible

management notifies HR in writing of an exception to the longevity date schedule. Such notification includes the following:

- a) an explanation for the exception;
- b) employees' names and Employee ID numbers;
- c) dates of optional review period; and
- d) the month the supervisor conducts the reviews.

2. The supervisor does not have to conduct the reviews the same month a program year ends. In the example, the program year is from September 1 to August 31; however, the supervisor does not have to conduct the review in August. The performance review should be completed by the end of September.

C. Probationary Employees

1. An individual hired by TWC as a probationary employee is evaluated during his/her first six months of employment. The supervisor should conduct a review for the probationary employee at the end of five months. Performance expectations for a probationary employee normally are at reduced levels. If an employee who has been working as a temporary becomes probationary and the job

duties do not change, the supervisor may use the expectations for an experienced employee.

2. The PPR must be completed at least two weeks before the end of the probationary period. The employee may gain regular status if the supervisor fails to submit a timely probationary review through appropriate channels to HR before the end of the review period. A probationary employee automatically becomes a regular employee on the first working date following satisfactory completion of the probationary period. At any time during the probationary period, management may release an employee who is not performing satisfactorily. Management submits the performance review and required documentation requesting the release to OGC HR Legal at least two weeks prior to the end of the probationary period.
3. Supervisors are encouraged to conduct an informal progress assessment of a probationary employee after three months. This assessment communicates the new employee's progress and any necessary additional training. The supervisor summarizes this assessment on a Form P-55, Journal Note, or a handwritten or computer-produced note and keeps it in the manager's files.

4. If justified for job-related reasons, management may extend the six-month probationary period for up to 12 months in three-month increments. Depending on the program, supervisors may need a year to evaluate an employee's performance. At least two weeks before the end of the initial six-month probationary period, the department head submits to OGC HR Legal a performance review for months 1 – 5 and a memorandum requesting an extension of the probationary period. The memorandum contains the beginning and ending dates of the period and the reason for the extension. The supervisor conducts a written performance review for the three-month period covering the sixth through the eighth months of probation. If the supervisor decides a final extension (for the 10th, 11th, and 12th months) is necessary, it covers the next three-month period. The supervisor submits another memorandum and written performance review covering the 9th through the 11th months of probation. The supervisor sends the original memorandum for each extension to OGC HR Legal for review and inclusion in the employee's personnel file and gives a copy to the employee. The department keeps a copy as necessary. The OGC HR Legal Department approves/disapproves all requests for probationary extensions and notifies the department head by written response. HR

includes a copy of the request and response in the employee's personnel file.

D. Exempt Employees

An employee hired into exempt status position has a performance review conducted after six months of employment and thereafter based on the TWC start date.

E. Temporary Employees

Because of the nature of the employment relationship, an employee hired into a temporary position does not have a performance review completed.

6.3.5 PROCEDURES FOR COMPLETING PERFORMANCE
PLANNING AND REVIEW

The Performance Planning and Review is a document that is partially completed at the beginning of the review period for establishing standards and finalized at the end of the review period for providing ratings.

6.3.6 SPECIAL REVIEWS

- A. Supervisors conduct special performance reviews for a number of reasons including a change in job duty, change in supervision, performance (including corrective action and some administrative probations), or to document eligibility for a merit

salary increase or assignment of new performance expectations.

- B. Whenever an employee receives a different job assignment involving different job duties, the supervisor closes out the performance review on the existing job duties and expectations for the prior period. The supervisor and employee confer to establish the new job duties and expectations.
- C. When a change in supervision occurs, the departing supervisor closes out all reviews using the existing job duties and expectations. The new supervisor immediately confers with each employee to review the established job duties and expectations and make any necessary changes.
- D. If an employee's performance requires corrective action, the supervisor must submit a special review through appropriate channels to OGC HR Legal at the end of the corrective action period. The supervisor follows the same procedures for employees placed on administrative probation due to performance deficiencies.

See [Chapter 7, Corrective and Disciplinary Actions](#).

- E. A special review covers a specific period of time and does not overlap the time period of any other review. The supervisor forwards the special review through channels to HR for review and inclusion in the employee's personnel file.

- F. Employees who are absent when a review is due will have their review deferred until their return to work. Supervisors prepare a memorandum indicating such and forward it through channels to HR for processing. Supervisors must take care to indicate only that the review is delayed due to the employee's absence and not make reference to any medical condition.
- G. A closeout PPR is not required if an annual PPR has been administered within the last six months. If new duties and standards have been assigned, then new PPR standards need to be updated and acknowledged by the employee.

6.3.7 ASSIGNMENT OF WORK BY SUPERVISOR OR
MANAGEMENT

- A. Supervisors or managers expect employees to accept duties as they are assigned. Employees must understand that supervisors have authority to assign duties as needed within the scope of their operations. All such assignments to employees constitute work the employee may reasonably be expected to perform. The employee is responsible for performing the assigned duties, regardless of whether such duties are specified in the job description.
- B. Supervisors do not need to set forth every duty an employee may be expected to perform in a job description. It is not desirable. A job description is

adequate if it sets out the principal duties, responsibilities, and supervisory relationships in such a way that the job can be classified. The job description does not restrict the assignment of duties to an employee by the supervisor if the assignments are reasonably related to the employee's classification and qualifications.

6.3.8 DEVELOPING A JOB DESCRIPTION

- A. The first major step in performance planning is the development of the employee's job description. Although each classification in TWC has a prepared specification in the State classification system, this specification is not designed for a performance review system. The employee's job description must be clear, detailed, and related to the individual's specific duties.
- B. The job description lists specific work duties in order of importance to develop a complete picture of the employee's primary job duties. Each job description contains the following elements:
 - 1. the employee's clearly defined duties listed in order of importance; and
 - 2. any special or occasional job duties, which are commensurate with the job classification.
- C. After the supervisor prepares a job description, the employee and the supervisor sign and date the section, and a copy is furnished to the employee.

Supervisors review and update job descriptions as necessary at the time of the annual performance review. The supervisor and employee maintain copies of the current job description.

- D. Employees who occupy “high risk” positions relative to safety are responsible for conforming to the agency’s safety policy. Supervisors must include a job duty for such responsibility in the employee’s job description.

6.3.9 ESTABLISHMENT AND REVIEW OF JOB DUTIES

- A. All employees must have measurable job duties with expectations and the core dimensions. If a position is in a transition state, the supervisor may write the job description, duties, and expectations in general terms; however, it is best to be as specific as possible.
- B. All employees have one or more job duties to be measured. At the end of the review period, the supervisor appraises each job duty. The most common sources of measurement information include personal observation, statistical reports, oral reports, and written reports. Timely and accurate record keeping of the employee’s work performance is very important. Supervisors must document and record data as frequently as necessary to have an accurate assessment of the employee’s performance. The supervisor uses personal observation as well as other forms of data gathering for this purpose.

- C. In situations where TWC staff is loaned to other units it is the responsibility of the TWC management to work with staff to identify job duties and expectations. Management is to solicit and use information regarding how well employees met their performance expectations when making final PPR rating determinations.

6.3.10 ESTABLISHING PERFORMANCE EXPECTATIONS

- A. Supervisors establish performance expectations for each job duty to be measured. The "Good" level of performance reflects the level of expectation the agency challenges each employee to achieve. An employee should experience a true sense of accomplishment when he/she achieves a "Good" level of performance.
- B. The supervisor may need several conferences with an employee to establish the performance expectations. Together, they establish the criterion for accomplishment of each measured job duty and the means of measurement. The following "yardsticks" may be used to establish expectations for each measured job duty:
1. quality of work;
 2. effect obtained;
 3. manner of performance;
 4. quantity of work;

5. timeliness; and/or
 6. cost effectiveness.
- C. If the supervisor and employee are unable to reach an agreement regarding the performance expectations, the next level of supervision meets with them to consider the differences and assigns expectation. After the supervisor and employee have determined and documented job duties to be measured and the performance expectations in Section C of the PPR, both sign and date the section. The employee will receive a copy.
- D. Employee development is a primary responsibility of supervisors and managers and is evaluated in their performance expectations. Accurate and objective evaluation of employees under their supervision is another essential responsibility of supervisors and managers and is also included as a performance expectation.

6.3.11 CHANGES IN JOB DUTIES AND PERFORMANCE EXPECTATIONS

- A. The supervisor may need to change certain performance expectations during a review period due to changes in job duties. If this occurs, the supervisor documents the change in the comment section only if the particular job duty is no longer measurable. Employees must know what is expected for the review period. Supervisors cannot

review an employee who is unaware of the job duties being measured or the performance expectations used in the evaluation. Supervisors shall make employees aware of the expectations in place at the beginning of the review period and of any changes that occur during the review period.

- B. Job duties and expectations are not “set in stone.” If situations warrant, supervisors can add or delete a job duty and/or modify the expectation of performance. If the supervisor needs help with any changes or modifications, the supervisor should contact HR for guidance.
- C. A closeout PPR is not required if an annual PPR has been administered within six months. If new duties and standards have been assigned, then new PPR standards need to be updated and acknowledged by the employee.

6.3.12 CORE DIMENSIONS

- A. Core dimensions are basic skills and/or interpersonal behaviors that are expected of all TWC employees and are related to the tasks and purposes of the job performed by the employee. Five core dimensions apply to every employee at TWC. Five additional core dimensions apply to supervisors and managers. Supervisors give employees copies of the core dimensions that apply to their positions at the beginning of the review period. The supervisor and

employee discuss and reach joint understanding of each core dimension.

- B. The core dimensions and definitions, which apply to every TWC employee, are:
1. Quality Customer Service: The employee takes prompt, attentive action to address customer needs, follows through on tasks, meets schedules and deadlines, conducts self in a business-like manner, and applies knowledge effectively in the performance of job duties. The employee delivers promised services in a timely, friendly, and consistent manner and uses a considerate and tactful approach in serving customers;
 2. Teamwork: The employee recognizes that the goals of the team are placed ahead of the goals of the individual. The employee fulfills commitments and obligations to others, contributes to team tasks and projects, follows through on tasks in a timely manner, and develops and maintains effective work relationships;
 3. Communication: The employee comprehends others and expresses self appropriately. The employee encourages others to express opinions and ideas, listens to and understands the ideas and views of others, presents pertinent ideas and information clearly and

concisely, and promotes discussion by probing and building on the ideas of others;

4. Initiative/Innovation: The employee willingly accepts additional assignments, volunteers for assignments outside the normal parameters of job duties, presents workable alternatives upon completion of analysis of a situation, combines ideas and information to reshape goals in ways that reveal new possibilities, and initiates ideas for continual improvement; and
 5. Flexibility/Adaptability: The employee displays versatility in meeting changing needs of clients and co-workers; handles multiple tasks concurrently; customizes approach to task, situation, problem, or customer; accepts new tasks, surroundings, priorities, or procedures willingly; and readily acquires and applies new skills and techniques.
- C. The additional core dimensions, which apply to supervisors and managers, are:
1. Leadership: Managers/supervisors establish clear, specific work unit goals/standards that are linked to and consistent with the Agency Strategic Plan. They motivate employees to achieve goals and strive to obtain highest achievement levels from others. They establish an open and trusting work environment and build and maintain credibility in business

relations with others. They accept responsibility and are accountable for decisions made and actions taken. They delegate work responsibilities based on subordinate strength, developmental needs, and workload;

2. Training: Managers/supervisors help staff members understand how their jobs contribute to the Agency's goals. They assess needs, develop a plan, and implement training to meet the organization's goals;
3. Administrative/Human Resources Function: Managers/supervisors manage personnel functions such as selection, disciplinary actions, performance reviews, leave, etc. They assure documentation is appropriate, complete, accurate, and submitted timely. They meet with employees regularly regarding performance and effectively manage all available resources. They notify appropriate staff prior to implementing decisions;
4. Problem Solving: Managers/supervisors recognize problems and effectively follow up on problems and decisions. They listen to and address employee concerns, providing feedback that is effective for the situation. They use a logical and rational approach to problem solving and offer appropriate solutions for problems, giving consideration to both immediate and long-term impact;

5. Team/Workgroup Building:
Managers/supervisors keep upper management and staff informed regarding team goals and progress. They effectively build consensus. They facilitate meetings to achieve objectives, and maintain trust and mutual respect among members and emphasize cooperation among members of the team; and

- D. Supervisors monitor performance throughout the review period to track areas of achievement and areas needing development. They may use personal observations or oral or written reports to evaluate core dimensions. Supervisors rate core dimensions as "Acceptable" or "Unacceptable". The supervisor must include justification on the Form P-54 for core dimension ratings. A rating of "Unacceptable" on any one core dimension means the overall rating cannot exceed "Good". A rating of "Unacceptable" on any two or more core dimensions means the overall rating cannot exceed "Needs Improvement".

6.3.13 AGENCY RULES, REGULATIONS, AND POLICY
OBSERVANCE

- A. Supervisors evaluate an employee's observance of TWC's rules, regulations, and policy. The employee is expected to:
1. act in accordance with the highest standards of ethics, accountability, and efficiency;
 2. observe agency rules, regulations, and policies, including those stated in handbooks and administrative directives;
 3. adhere to work schedule, attendance, and punctuality to work and observe agency leave policies and procedures. The supervisor considers the degree to which the employee regularly reports to work and arrives on time, lunches, breaks, etc. (Include only non-FMLA qualified absences and consider trends and frequency.);
 4. demonstrate commitment to accepted standards of conduct;
 5. contribute to professional environment; and
 6. practice safety and security measures.
- B. Supervisors rate an employee as "Acceptable" or "Unacceptable" based upon the above expectations. Supervisors must include justification for an

“Unacceptable” rating on the PPR. A rating of “Unacceptable” results in an overall rating not to exceed “Good”.

6.3.14 SUGGESTIONS FOR CONDUCTING A REVIEW
CONFERENCE

Guidelines for conducting the review conference include:

- A. select a place as private as possible;
- B. explain the purpose of the conference;
- C. discuss significant accomplishments. Emphasize strengths which the employee can build or use more effectively;
- D. comment on and make suggestions for improvements. If the employee has corrected some problems, discuss the improvements that the employee has made;
- E. be an active and positive listener. Concentrate on what the employee is saying. Encourage the employee to express opinions to help establish effective communications;
- F. take a positive approach when comparing an employee’s accomplishments and strengths with the performance expectations; and
- G. discuss employee development plans for enhancing knowledge and skills.

6.3.15 JOURNAL OR PERFORMANCE NOTES

- A. Supervisors refer to documentation on the Form P-55, Journal Notes, (refer to Form P-55 Instructions) or performance notes (handwritten or computer-produced notes) to determine an employee's work performance and observance of core dimensions criteria rating levels. For example, the supervisor records data as it is gathered from work samples and incidences of tardiness as they occur. The supervisor may record dates and subjects discussed during conferences with the employee. Often the supervisor has the employee initial entries.

Refer to [Chapter 7, Corrective and Disciplinary Actions](#), for additional information related to Journal Notes.

- B. If an employee changes supervision, the supervisor sends Form P-55 or performance notes related to the employee to the new supervisor.
- C. The supervisor retains Form P-55 or performance notes for three years, unless a grievance or litigation is filed, in which case the supervisor retains the records until a resolution is reached.

6.3.16 SEMI-ANNUAL CONFERENCE

The supervisor may hold an informal conference with employee semi-annually to review the employee's level of performance. The supervisor may conduct the conference

at the mid-point of each review year. Supervisors may hold conferences more often if deemed necessary. The supervisor can document the semi-annual conference separate from the PPR. The document may be included with the PPR for the employee's annual review (but not required).

6.3.17 DETERMINING AND DOCUMENTING PERFORMANCE
RATING LEVELS

- A. At the end of the review year, the supervisor reviews all Form P-55, Journal Notes, and performance notes to determine the performance rating levels achieved for each job duty measured. The supervisor writes supporting comments for all performance levels (Exceptional, Outstanding, Good, Needs Improvement, or Unacceptable.) for each individual job duty rating. For expectations that include numerical ranges, the supervisor notes the numerical level of the employee's performance. All supporting comments substantiate the employee's performance rating.

- B. The individual ratings from the job duty expectations, agency rules and regulations, and core dimension ratings determine the Overall Review Rating. The supervisor uses the Duty Grid, Overall Rating Rules and Overall Rating Chart to arrive at the overall performance rating level.

6.3.18 REBUTTALS

- A. In the event an employee disagrees with the contents of the review, the employee registers the exception or disagreement in writing to the supervisor within 30 calendar days of the review conference. The supervisor signs, dates, and forwards the rebuttal in a timely manner through channels to HR to be associated with the performance review in the employee's personnel file.

- B. The supervisor is required to submit an original response, approved by the division director (or designee), to the employee within 15 calendar days after receipt of the rebuttal and forwards a copy through department head channels to HR for filing with the performance review and rebuttal in the employee's personnel file. The division director may require the supervisor to confer with OGC HR Legal prior to drafting a response.

6.3.19 PERFORMANCE IMPROVEMENT PLAN

- A. The agency expects all employees to achieve at least a Good level of performance, but employees may have weaknesses or deficiencies, which prevent them from doing so. Therefore, when the level of an employee's performance on any job duty or overall performance is at the Unacceptable or Needs Improvement level, the supervisor, in consultation with OGC HR Legal, develops a Performance Improvement Plan (PIP) for the immediate upcoming review period to assist the employee in attaining the agency's performance expectations.
- B. A Performance Improvement Plan:
1. identifies the weakness or deficiency the employee has in accomplishing the desired performance level for the job duty;
 2. describes the job performance expectations for each duty in which there is a deficiency or weakness;
 3. formulates a plan that identifies the assistance that management will provide to enable the employee to achieve the "Good" level of performance (e.g., additional training, closer supervision, specific suggestions to achieve better results, etc.);
 4. establishes a time frame within which improvements are expected and if/when a

special review will be conducted. The special review must address all job duties including supporting comments. Also, the supervisor must complete the overall performance level with supporting comments; and

5. details the consequences of not achieving the performance expectations within the specified time frames.
- C. The supervisor and the employee read, discuss, sign and date the PIP to ensure complete understanding of management's expectations. The PIP is submitted to HR with the PPR.
 - D. During the performance improvement rating period, the supervisor must sample the work for the defined goal(s) more frequently and conduct feedback (conferences) about work samples more frequently to keep progress on track. Quality feedback reinforces progress or redirects practices that contribute to the employee's deficiency. Frequent and specific feedback gives the employee opportunity to succeed. The supervisor must document all work samples and conferences to reflect that the supervisor gave the employee the assistance and coaching needed for improvement.

6.3.20 PERFORMANCE DEFICIENCIES AND DISCIPLINE

An employee who fails to achieve a minimum performance rating of "Good" on any one of the job duties, Core Dimensions, or on the overall Performance Review, may be subject to disciplinary action.

Refer to [Chapter 7, Corrective and Disciplinary Actions](#).

6.3.21 EMPLOYEE DEVELOPMENT PLAN

- A. The Employee Development Plan (EDP) is created in CAPPS within the PPR document and offers both the employee and the supervisor or manager an opportunity to address the employee's skills, knowledge, or career development. It documents training objectives for new or current personnel or the career plans of an employee who is attending college or planning a career change within TWC.
- B. An employee uses the EDP to indicate a desire for additional training in a current position, such as a state taxation seminar that provides continuing education credit for a CPA and enhances the skills and knowledge of a Field Tax Accounts Examiner. A clerical employee who wants training on new word processing or spreadsheet software uses the EDP to indicate the training need.
- C. An employee who applies for tuition assistance through TWC completes the form to identify the specific position with the agency. Those individuals

who identify a new career or skill path within TWC use the form to identify the new path and courses or training necessary to reach the learning objective.

- D. Supervisors and managers use the EDP to discuss with employees the enhancement of knowledge and skills. When a supervisor identifies an area to be augmented by additional training (formal or informal), indicating the learning objective (critical or desired), when it should be accomplished, and how it will be applied to the job.
- E. The EDP is visible to all employees, supervisors, and managers throughout the review period in the CAPPs PPR Current Document. Supervisors or managers will discuss employee development with employees and complete the EDP at the time of the regularly scheduled review.

6.3.22 MANAGEMENT/SUPERVISORY RESPONSIBILITY

- A. During the planning stage at the beginning of the review process, the supervisor submits the employee's proposed job description, job duties, and performance expectations to the employee for discussion and acknowledgement (approval) in CAPPs. At the end of the review period, during a conference, the supervisor reviews the completed PPR with the employee. This review will show the proposed ratings and justifications on job duties, core dimensions, agency rules, regulations, and policy observance and the overall rating and the

Employee Development Plan. If necessary, next-level management reviews the total process to ensure that appropriate information is provided, the job description and performance review forms are completed accurately, and procedures regarding the PPR system are followed.

- B. Since a mandatory function of supervisory and management personnel is preparing performance reviews, the department heads or their delegates have the ultimate responsibility for the effectiveness of this system. They review monthly monitoring reports to ensure that the system is functioning properly.
- C. Each supervisor determines the employees' training needs and provides special assistance in overcoming weaknesses. This time and effort are critical in the development of supervisory/management skills and employee growth.
- D. The PPR system is an ongoing process. At the time of the performance review, the supervisor and the employee discuss and document any necessary revisions to the job description, performance expectations, or core dimension expectations for the future review period.

NOTE: Classification audits are conducted by HR prior to every job posting. HR may also conduct classification audits as part of an HR review of PPRs.