UNC | SCHOOL OF GOVERNMENT
Center for Public Leadership and Governance

Fundamental Supervisory Practices

Fundamental Supervisory Practices

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Peg Carlson is director of the School of Government's Center for Public Leadership and Governance, an initiative designed to integrate, coordinate, and expand the School's leadership, governance, and management programs and scholarship. Carlson rejoined the School of Government in September 2015, after serving on the faculty from 1992–2000. Prior to her return to the School, she was an executive consultant with Roger Schwarz & Associates and worked with a wide variety of public, private, and nonprofit organizations as a facilitator, trainer, coach, and consultant to help them build effective leadership teams. She has published articles on developing effective groups, assessing the chief executive's performance, and multi-rater feedback and is co-author of The Skilled Facilitator Fieldbook: Tips, Tools, and Tested Methods for Consultants, Facilitators, Managers, Trainers, and Coaches (Jossey-Bass, 2005). Carlson received a BA in psychology from the University of Minnesota and an AM and PhD in organizational psychology from the University of Michigan.

Fields of Expertise
Board Development, Center for Public Leadership and Governance, Collaboration in Groups, Facilitation Governing Boards (Management), Leadership Development, Organizational Change and Development Public Management, Retreat Facilitation, Strategic Planning and Visioning

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Asila Calhoun is a certified coach and facilitator whose coaching and consulting practice focuses on partnering with leaders through coaching, leadership development and diversity, equity and inclusion training. She has clients from a wide variety of professional backgrounds and industries, including biotechnology/clinical research, healthcare, as well as non-profit organizations and business owners.

During Asila's 25+ year career as a strategic HR business partner, she successfully worked with senior leaders to enhance the skills, tools, and learning opportunities they need to successfully manage and support effective employee performance.

Asila earned her Bachelor's degree in Sociology from UC Berkeley, and she holds PHR and SHRM-CP Human Resources certifications. She is a member of the International Coach Federation (ICF), an Associate Certified Coach (ACC) and a Certified Inclusion Coach (CIC). She is certified in DiSC, TILT True Personality Profile Assessment, 360 feedback, and the Emotional & Social Competency Inventory Assessment (ESCI) – an emotional intelligence based 360 feedback assessment.

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Eleanor Green is a retired local government Human Resources Director with a passion for training and organizational development. Eleanor received a BA in psychology and political science from UNC-Chapel Hill and a MPA and Ed.D. from NC State University. Her experience includes working with in-tact workgroups to improve working relationships and training supervisors on a variety of topics to include emotional intelligence, coaching and feedback, conflict resolution, effectively navigating HR issues and making the right hire. Eleanor has extensive training in group facilitation and experience facilitating leadership and staff retreats and is certified to administer the EQi 2.0, EQi 360, the Myer-Briggs Type Indicator, and TILT 365 profile.

CAROLYN MILLER
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Carolyn Miller is the Human Resources and Risk Management Director for Chatham County and is the principal instructor in their comprehensive in-house training curriculum on leadership, management, and supervision. She is a graduate of the University of Wisconsin with degree in history, from Pennsylvania State University with a master's in human resources and employment relations, and East Carolina University with a post-graduate certificate in community college instruction. She also works with the North Carolina State University and the University of Kentucky, instructing courses in supervision, leadership and diversity, equity, and inclusion for their continuing education programs for local government employees.

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Rick is an independent consultant whose work focuses on change, leader development, executive coaching, strategy, culture and teams.

Rick has led strategic change efforts around culture change, leadership development, and software programs. He has delivered and is known for his custom-designed programs, which are designed to be engaging and results-driven. He is certified in many assessments including, EQi, Birkman, Team Advantage and Polarity Thinking. Rick's academic background includes undergraduate degrees in Management and Marketing from Bluefield State College, dual master's degrees in Religious Education (Adult Education) from Fordham University and Organization Development (AU/NTL) from The American University. He graduated in August of 2016 from North Carolina State University with his Business Coaching Certificate and he has his PCC level credential through the International Coaching Federation

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Dale received her Bachelor of Science Degree in Recreation Resources Administration from North Carolina State University. She spent most of her career with the Raleigh Parks and Recreation Department in Raleigh, NC working in various management capacities. In 2007, she became the Parks and Recreation Director for the City of Rocky Mount in Rocky Mount, NC. She retired from that position in 2012. Since her retirement, she has attained her Master's Certificate in Teaching, Training and Education Technology,a Business Coaching Certificate, Associate Certified Coach status with the International Coaching Federation and several assessment certifications. She is now the CEO of Smith Management Training andConsulting Services and is interested in working with individuals and teams that seek to improve their communication skills, develop positive team dynamics and consistently meet mutual goals.

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Center for Public Leadership and Governance

Fundamental Supervisory Practices-Week I

February 6-10, 2023

9:00AM - 12:00PM
ONLINE

Monday, February 6

8:30AM Check-in/Log-in

9:00AM Setting the Context **Carolyn Miller (and Asila Calhoun)**

- Welcome, Introductions and Expectations
- Overview of Program/Program Expectations/Learning Partner
- Learning Agility and its importance for this program
- Learning Model overview
- Stakeholder Identification Activity
- Public Service-a calling and the role of government
- Supervision in the public sector

12:00PM Instructions for Tomorrow and Adjourn

Post-Class Assignment: All documents are in the Assignments Packet

- Complete the Skills needed for Supervision Worksheet

Tuesday, February 7

8:30AM Mix-n-Mingle Rooms

9:00AM Skills Needed to Be An Effective Supervisor **Carolyn Miller (and Asila Calhoun)**

- Skills needed for supervision
- Behaviors of the Best and Worst Supervisors
- Moving from Buddy to Boss
- Establishing Trust and Credibility with your Direct Reports
- Working with your Learning Partner

12:00PM Instructions for Tomorrow and Adjourn

Post-Class Assignment: All documents are in the Assignments Packet

- Meet with learning partner to discuss Day 1-2 Reflection Questions
- Read through your True TILT profile and bring to class tomorrow

Wednesday, February 8

8:30AM Mix-n-Mingle Rooms

9:00AM Your True TILT and How to Use it **Eleanor Green (and Asila Calhoun)**

- Getting Comfortable with Learning New Things about yourself
- The TILT model and you
- Why TILT?
- Exploring True Tilt patterns

12:00PM Instructions for Tomorrow and Adjourn

Thursday, February 9

8:30AM Mix-n-Mingle Rooms

9:00AM Your True TILT and How To Use it, Cont'd **Eleanor Green (and Asila Calhoun)**

- Why do I sometimes react that way?
- Choosing Conscious, balanced responses
- How to TILT to context
- Personal Development Planning

12:00PM Instructions for Tomorrow and Adjourn

Post-Class Assignment: All documents are in the Assignments Packet

- Complete the Navigating Legal Issues True/False Questionnaire prior to Day 5 class

Friday, February 10

8:30AM Mix-n-Mingle Rooms

9:00AM Navigating Legal Issues **Rick Rocchetti (and Asila Calhoun)**

- Identify the legal issues and key employment laws you have to navigate as a supervisor.
- Review EEOC protected classes and review best practices to prevent discrimination claims.
- Discuss strategies for creating a productive and safe working environment free from harassment.
- Evaluate common employment situations and determine possible response strategies and resources needed for an appropriate response.

12:00PM Instructions for Week II and Adjourn

Post-Class Assignment: All documents are in the Assignments Packet

- Complete your Guiding Principles Worksheet
- Complete your FSP Week One Personal Development Plan
- Meet with your learning partner prior to Week 2 to discuss Days 3-5 Reflection Questions and share your FSP Guiding Principles to get feedback

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Fundamental Supervisory Practices-Week II

February 20-23, 2023
9:00AM-12:00PM
ONLINE

Monday, February 20

8:30AM Mix-n-Mingle Rooms

9:00AM Diversity, Inclusion, and Belonging: Managing Multiple Generations **Rick Rocchetti (and Asila Calhoun)**

- Your First Thoughts
- Stereotypes and Dispelling Myths
- Diversity Wheel
- Managing Multiple Generations

12:00PM Instructions for Tomorrow and Adjourn

Post-Class Assignment: All documents are in the Assignment Packet

- Suggested reading: "How to Manage Intergenerational Conflict in the Workplace"

Tuesday, February 21

8:30AM Mix-n-Mingle Rooms

9:00AM Effectively Communicating with Staff **Rick Rocchetti (and Asila Calhoun)**

- Importance of Communication
- Review of the Communication Process
- Active Listening Techniques
- Role and Types of Questions
- Ladder of Inference

12:00PM Instructions for Tomorrow and Adjourn

Post-Class Assignment: All documents are in the Assignment Packet

- Read "Who's Got the Monkey" – Harvard Business Review article

Wednesday, February 22

8:30AM Mix-n-Mingle Rooms

9:00AM Checking Yourself **Carolyn Miller (and Asila Calhoun)**

- Drama Triangle
- Emotional Triggers
- Getting Out of the Drama Triangle
- I messages
- Performance Conversation Planning

12:00PM Instructions for Tomorrow and Adjourn

Post-Class Assignment: All documents are in the Assignment Packet

- Complete Performance Conversation Planning Worksheet prior to Day 9
- Meet with Learning Partner to discuss Day 6-7-8 Reflection Questions

Thursday, February 23

8:30AM Mix-n-Mingle Rooms

9:00AM Feedback and Coaching **Rick Rocchetti (and Asila Calhoun)**

- What is Feedback? Why is it important? What are its limitations?
- Performance Conversation Model
- Feedback and Performance Conversation Practice
- Transfer of Training back on the Job

Post-Class Assignment: All documents are in the Assignment Packet

- Complete FSP Personal Development Plan and share with your supervisor and staff as desired
- Commit to making changes identified in the Personal Development Plan
- Send an email to your Learning Partner using an "I" message to recognize them for how they helped you during FSP program.
- Contact course instructors with questions

12:00PM Adjourn

FUNDAMENTAL SUPERVISORY PRACTICES

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Fundamental Supervisory Practices

Day One
Setting the Context

Fundamental Supervisory Practices

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This course will assist you in learning:

- more about yourself and your management style, and how that impacts your effectiveness.
- the role, duties and skills needed to be an effective supervisor in the public sector.
- how to build your credibility and make the transition from buddy to boss
- the critical employment laws that impact the workplace and how to create a safe, professional and harassment free workplace.
- how to work effectively in a diverse environment with multi-generations, and how to create an inclusive environment where all can prosper.
- techniques and strategies to improve communication, deliver difficult performance feedback and engage in productive coaching conversations with direct reports.
- how to diagnose complex issues facing supervisors and design effective solutions.

Session 1

Topics covered in today's session

- Welcome, introductions and expectations for the course.
- Examining the role of a supervisor
- Exploring what it means to be a supervisor in the public sector
- Identifying the skills needed to be a more agile learner
- Introduction to the learning model that sets the basis for the class.

Learning Agility

Warner Burke/David Hoff

Critical Dimensions

Flexibility-being open to new ideas and proposing new solutions.

Speed-Acting on ideas quickly so that those not working are discarded and other possibilities are accelerated.

Other Dimensions

Interpersonal Risk Taking-Discussing differences with others in ways that lead to learning and change.

Performance Risk Taking-Seeking new activities (e.g., tasks, assignments, roles) that provide opportunities to be challenged.

Reflecting-Slowing down to evaluate one's own performance in order to be more effective.

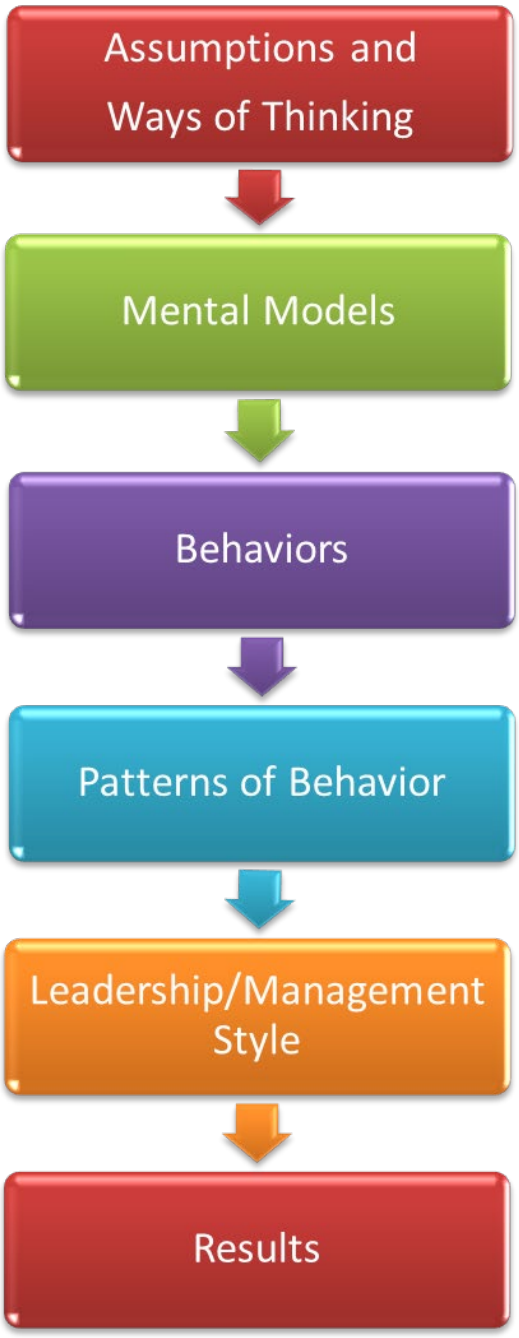
Experimenting-Trying new opportunities for learning (e.g., approaches, ideas) to determine what is effective.

Collaborating-Finding ways to work with others that generate new opportunities for learning.

Information Gathering-Using various methods to remain current in one's area of expertise.

Feedback-Seeking-Asking others for feedback on one's ideas and overall performance.

Learning Model



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Fundamental Supervisory Practices

Assignments

Day One

Skills and Knowledge Needed for Supervision

Rate the following skills on a 1 to 10 scale. 1 is not skilled, 10 is highly skilled. Then, rate according to the relative importance to you now.

Skills

Planning Work

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Organizing Work

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Setting Priorities

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Managing Time

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Delegating Work

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Problem-Solving

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Critical Thinking

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Developing and maintaining relationships (Interpersonal Relationships)

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Openness (Be open and approachable)

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Communication (includes active listening, use of questions, providing feedback, assertiveness)

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Conflict Resolution

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Performance Coaching

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Managing Change

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Working with Teams

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Developing Staff

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Technical Knowledge

HR Laws (EEOC, ADA, Harassment, Generations, etc.)

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Diversity, Belonging and Inclusion

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Ethics

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Understanding your role

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

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Day Two
Skills Needed to be An Effective Supervisor

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Session 2

Topics covered in today's session:

- Examine the skills important for effective supervision and assess your current competence with each skill.
- Examine the skills needed to establish trust and credibility as a supervisor.
- Clarify skills and attitude needed to move from buddy to boss.
- Review and discuss responses to new supervisor case studies.
- Meet your learning partner and begin reflecting on your course learnings to date.

Skills and Knowledge Needed for Supervision

Rate the following skills on a 1 to 10 scale. 1 is not skilled, 10 is highly skilled. Then, rate according to the relative importance to you now.

Skills

Planning Work

Skill level 1-Low 5 10-High

Importance 1-Low 5 10-High

Comments:

Organizing Work

Skill level 1-Low 5 10-High

Importance 1-Low 5 10-High

Comments:

Setting Priorities

Skill level 1-Low 5 10-High

Importance 1-Low 5 10-High

Comments:

Managing Time

Skill level 1-Low 5 10-High

Importance 1-Low 5 10-High

Comments:

Delegating Work

Skill level 1-Low 5 10-High

Importance 1-Low 5 10-High

Comments:

Problem-Solving

Skill level 1-Low 5 10-High

Importance 1-Low 5 10-High

Comments:

Critical Thinking

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Developing and maintaining relationships (Interpersonal Relationships)

Skill level	1-Low	5	10-High
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Comments:

Openness (Be open and approachable)

Skill level	1-Low	5	10-High
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Comments:

Communication (includes active listening, use of questions, providing feedback, assertiveness)

Skill level	1-Low	5	10-High
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Comments:

Conflict Resolution

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Performance Coaching

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Managing Change

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Working with Teams

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Developing Staff

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Technical Knowledge

HR Laws (EEOC, ADA, Harassment, Generations, etc.)

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Diversity, Belonging and Inclusion

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Ethics

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Understanding your role

Skill level	1-Low	5	10-High
Importance	1-Low	5	10-High

Comments:

Case Scenarios

Case Study 1

You worked for the County for 4 years as Child Support Officer. Two months ago your supervisor retired and you were promoted to the Child Support Supervisor position. You were selected for the job over Alice, a long-term employee who trained you when you arrived on the job. You have noticed that Alice hasn't really talked much to you since your promotion (and you used to share personal information about your families) and yesterday she told you she did not want to be asked to help train the new employee who has taken your place.

Case Study 2

You were recently promoted to the position of Fleet Maintenance Supervisor. You were previously the Lead Mechanic who worked under a boss that was always micromanaging the work unit. When you got promoted you told others in the garage that you were going to trust them to get their work done, and that you would not be on top of them all the time like the previous supervisor (Ralph) was. A few minutes ago one of the mechanics (who is also one a friend outside of work who you like to go fishing with) sticks his head in your office door and says he plans to take leave time this afternoon because the "fish are biting and it's too nice outside to be at work." He also says "I am so glad you are in this job. Ralph probably wouldn't have let me off." You know that there is a fire truck and sanitation truck that are currently in the shop and need some significant work before they can be put back on the road. You are worried that losing a mechanic for an afternoon will delay the repair work and hurt the operations of the departments who use these vehicles.

Case Study 3

Last week you were promoted to the job of Accounting Supervisor in the Finance Department after working as an Accounting Specialist in the same department. Before you were promoted you used to go out to lunch a couple times a week with two other employees in the office who you would consider your closest work friends. You have invited the others to join you for lunch in the past, but they have not accepted the invitation. You are headed out the door to lunch with your usual work group and you overhear one of the other employees say, "I know who is going to get the best merit raises this year."

Case Study 4

You have a Master's degree in Planning and had worked with the City for 6 months as a Planner when your boss, the Planning Director, resigned. You applied for the position and were selected for the job. Your staff consists of a Planner, who has worked for the City for 7 years and is 10 years older than you. He did not apply for the job "because he knew you would get it" and has a tendency just to do enough to get by; a Planning Technician who is 20 years older than you and has worked for the City since graduating from community college and is very proficient in her work, and an Administrative Assistant/Receptionist (about your age) who has been working for the City for 3 years, and has a habit of leaving the front desk unattended. She's also engaged to your cousin. Tomorrow will be your first day in the Planning Director role. What will you do?

Six Disciplines of Credibility

Kouzes and Posner

1. **Discovering Yourself**

   Essential ingredients for leadership: Credo, Competence and Confidence.

   --Know what you are doing and why

   --Develop guiding values and follow them in making decisions.

   --Seek out training and always look for ways to improve.

   --Admit strengths and weaknesses.

2. **Appreciating Constituents (and their diversity)**

   Leadership is a dialogue, not a monologue

   -- Be accessible

   --Listen everywhere and listen well

   --Learn your employees' stories.

   - What do they value?
   - What do they need?
   - Put yourself in their shoes and show empathy.
   - Appreciate the contributions of others. (Provide praise and recognition.)

3. **Affirming Shared Values**

   Honor diversity and find common ground

   -- Create a culture of collaboration.

   --Build a strong sense of community within the team

   --Create shared values and norms

4. **Developing Capacity**

   Liberate the leader in others

   --Develop your staff – educate, educate, educate

   -- Promote training and provide resources

   --Allow others to make decisions (give people more discretion) and keep them informed.

   --Reward initiative

   --Treat everyone as a leader of their own work.

5. **Serving a Purpose**

   Recognize leadership as a service

   -- Be a servant leader – "Others-focused"

   -- Audit how you spend your time. Does your time match your values?

   --Take actions based on values.

   -- Be the first to what has been agreed to. Set the example

6. **Sustaining Hope**

Be a cheerleader – be there at tough times.
-- Inspire others; stay positive and upbeat
--Take pro-active steps to behave in ways that promote health and wellness.
--Show compassion, and continue to follow guiding principles.
--Be flexible to change plans if this is needed and set new goals.

Rebuilding Credibility

"Rebuilding lost leadership credibility will require daily attention. Leaders will have to nurture their relationships with constituents. They will have to show people that they care, every day. They will have to take the time to act consciously and consistently. Their actions must speak louder than their words. Leadership after all, exists only in the eyes of constituents."

(From Credibility: *How Leaders Gain and Lose It, Why People Demand It,* Kouzes and Posner, 2003)

What are your Guiding Principles?

Guiding Principles are a set of values that guide your decisions and remind you how to act when managing others. In their book, *Credibility: Why Leaders Gain and Lose It, Why People Demand It,* Kouzes and Posner (2003) note that credibility is strengthened when the leader has a philosophy and acts in ways that are consistent with it. This also requires staying true to these values even in times of adversity.

Developing a set of guiding principles can help you be a more effective supervisor and serve as a framework for managing yourself. Your guiding principles can be written in any style that works for you. Two examples are provided below.

Example 1:

I will follow through and do what I say I will do.

I will make decisions that are in the greatest interest of all, and not just for one person.

I will say "yes" to staff suggestions whenever possible.

I will celebrate accomplishments of staff.

I will approach change with optimism.

I will seek to understand the needs of others.

I will accept responsibility for mistakes.

I will encourage others to make decisions.

Example 2

Lead by example

Be consistent in attitude and actions

Be transparent in decision-making

Help others grow and learn

Set expectations and hold others accountable

Seek feedback from others

Value diversity and foster inclusion

To develop your own guiding principles, consider using the following process.

Step 1: Think about what you would want your staff members to say about you if they were asked to describe you as a supervisor and write those thoughts below.

Step 2: Using the list above, and from considering other relevant self-knowledge, develop 4-8 Guiding Principles that reflect how you want to behave as a supervisor.

Step 3: Examine these principles on a regular basis and ensure your actions are consistent with your Guiding Principles

5 Tips for Successful Transitioning

by Dale Smith, CEO

SMITH
MANAGEMENT TRAINING & CONSULTING SERVICES, LLC

Smith Management Training & Consulting Services operates on the premise that for individuals & teams to succeed they have to Work Hard, Love Hard & Play Hard!

Our mission is to help individuals & teams reach their common goals & develop strong relationships while doing it.

With that thought in mind, let's discuss transitioning!

Transitioning

It looks and sounds simple! Usually people think "I am good at what I do and I have been rewarded by getting a promotion and now I have arrived", but the promotion is only the beginning. I have witnessed time and time again that people don't understand the thought that needs to go into transitioning into another role, specifically if you are supervising people. I think that the process of applying for a job, interviewing and accepting the new job gets more of the attention sometimes than the actual start of the job. This is where I want to help you avoid some of the things that I see on a regular basis that continues to have supervisors starting behind the curve.

I will also say, THIS IS NOT ROCKET SCIENCE!

TIP #1 Develop a formal introduction beginning the first day.

This is the FIRST thing that should be accomplished when moving into a new role. This should be completed whether you are transferring into a new position in your current organization or whether you are starting at a new agency. The introduction sets the tone for the future. A formal process really makes you think through the steps and allows you to be PURPOSEFUL in your approach. This process also allows to establish Leadership right away and establish a consistent message. I have heard time and time again that people show up for the first day and just go to work, never meeting their team or have any opportunity to get to know them. This process will make sure that does not occur.

First – Meet with Direct Reports as a Team & Set Expectations

What works well in this scenario is to first introduce yourself, share your background and why it was important for you to become a part of this team. Then have your direct reports introduce themselves and tell a little about their background. After the introductions, follow an agenda that is purposeful. Discuss expectations – what they can expect from you and what you expect from them. This interaction should be specific but uplifting. It should include your value system as a manager and should indicate why those are important to you and the company. Along with that you should be prepared to talk about your thoughts on the future and what you generally hope to accomplish. This should be clear and concise so that everyone there is clear on the direction when they leave. Being clear and concise is important for the start of any transition.

Second – Schedule Direct Report Interviews; Make Formal & Consistent

This also is a very important piece to establishing leadership and understanding the dynamics occurring within the agency. The key to this is consistency. An agenda should be developed to assure that each employee is addressed the same way. I typically develop a list of questions that are important to the overall business operation along with giving the employee an opportunity to share more of their background to get to know them better.

This sometimes is not done internally because the new supervisor either has been working in the same group or they have had the ability to witness work within this group. *NOTE* - just because you have witnessed something or have worked in a different role within a work group does not mean that you

know the full extent of the situation. It is very important that a clean slate is brought into this dynamic. A sample Agenda would include:

- *Overview of experience*
- *Explanation of their job and their role within agency*
- *Goals for their division*
- *Positives and negatives of their position*
- *Explanation of day to day operations*
- *Knowledge of unique situations to help understand history*
- *Tour of worksite and/or facilities if possible*
- *General needs that are not being met*

Third – Schedule Expectations Meeting with Full Team

This meeting can be accomplished in a number of ways. You can meet with individual teams or with the organization as a whole. This will all depend on time and the number of employees that you have. I, suggest, however that no matter how large the organization, that you make the effort to reach everyone in the company in some fashion to introduce yourself and have them do the same. This message should be consistent with the Direct Reports' conversation.

Again, develop an agenda for this interaction to make sure you keep consistency. Potential format could look like this for this meeting:

- *Overview of your background and why you took the job*
- *Hold an abbreviated version of the previous expectation meetings done with Direct Reports*
- *Provide time for formal introductions by employees*
- *Learn names and positions – very, very critical!*

For each of these discussions always remember:

- Be Prepared
- Be Yourself
- Be Authentic
- Be Specific

TIP #2 Talk Less, Listen More!

The mastery of this can make or break a successful transition. Employees appreciate the ability to tell their story and also express their own reality. Give them the ability to do that. A lot of new managers have a tendency to think that their employees expect the new manager to have all the answers. Quite the opposite is my experience. The employees that are in the situation believe that they have the answers but are not getting to share them. They want to share. The best managers are those that listen, evaluate and listen some more before action is taken, specifically during a transition period.

I have seen where the transitioning manager has arbitrarily instituted new processes that went well for them at a previous location. The thought is that it will work for this particular set of issues as well but they didn't fully vet the options that might exist and the process failed. This type of action with little discovery can lead to inefficiencies and discontent among employees.

To be able to stay away from that type of mistake, LISTEN and EVALUATE – you will be glad you did!

TIP #3 Changes should be made slowly.

This is a potential HOLE that transitioning supervisors can make for themselves.

Transitioning supervisors must recognize that change is hard for most people but not for why most people think. Typically, people don't like change because they don't understand it and they don't understand how it might benefit them. That is why it is important to change slowly in these circumstances because it is hard to make changes without having developed a foundation of trust and communication. This does not mean, do not change, it just means do it slowly and give time for trust to develop.

Also, changes that are made should include the people that they affect.

I have read that 70% of all revolutionary change fails. It has usually been connected to the absence of a clear, thought-out process for change (Burke, 2011).

TIP #4 Negative thoughts on previous administrations should not be shared.

Well, this one should be a no brainer, but I see this regularly with new managers.

Usually when this occurs there is typically a lack of awareness of how this type of communication can negatively affect the organization or a miscalculation that this type of criticism can establish their leadership. Either one can destroy trust and develop strong negative feelings from employees that worked under the previous administration. This one is easily avoidable.

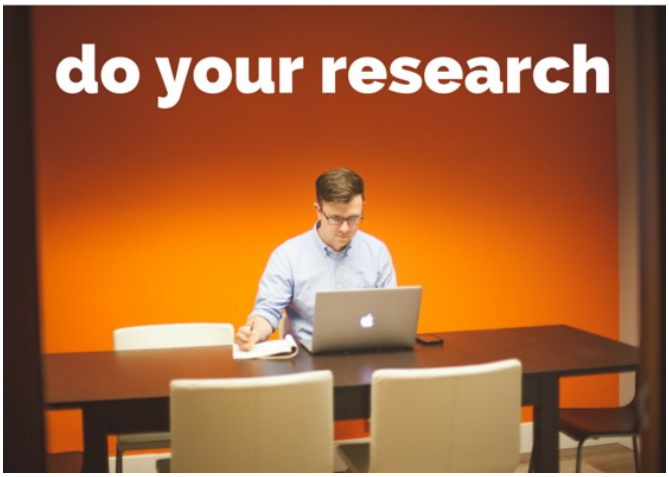
Remember everyone has had a previous administration and there are people within the agency that developed relationships and are still loyal to that relationship.

TIP #5 Recognition of the differences between perception and reality.

This one is tricky. It can happen when a manager is promoted within an agency and for sure when a manager is going into a new organization.

Let's talk first about an internal promotion. All of us in the workplace make assumptions about what people's roles are and how they are performing those roles, especially if we have the ability to witness that performance on some type of consistent level. The trap that occurs internally with this type of access is that we "think we know" but truly "Do we know?" I would advise all internal transitioning supervisors to realize that the purview that you may have had may not give you the information needed to make an informed decision and that bringing that into the new scenario would be a mistake. Employees want to be treated fairly and they want a manager that has the ability to gauge their work objectively. That having been said, they need to know that you are starting out with a clean slate. This is NOT easy but good managers practice this relentlessly.

Now, let's discuss an external move. I think almost always what is perceived to be the situation is never the exact situation. So, my advice is to be prepared for that. Do your homework up front on your new agency. Talk with people that you know that may know the agency intimately, make sure you ask the right questions of management to get the best feel of the organization and stay curious. When you apply for a job, typically in government, you look at the agency, the benefits, the salary and you do some homework on the town, city or county and determine then if you are interested in being a part of their team. Everyone's best foot is put forward during this process but be mindful that you don't know an agency truly until you are a part of it. Make sure, as best you can, that your values line up with the values of the organization. It is hard when the perception of an alliance initially appears to but actually does not.



Conclusion

Finally, in conclusion, it so important that you recognize the following when transitioning into a new role:

- *First Day Impressions Should Be Planned*
- *Initial Six Months is a Critical Time Period –Move Slowly*
- *Change is Difficult for Most People because the Benefit is not Understood or Communicated*
- *Understand Your Reality*
- *Listen and Evaluate!*

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SCHOOL OF GOVERNMENT
Center for Public Leadership and Governance

Fundamental Supervisory Practices

Assignments

Day Two

Fundamental Supervisory Practices
Day 1-2 Reflection Questions

1. What insights do you have about your role as a supervisor?

2. What questions remain for you around your role as a supervisor?

3. What concerns do you have about developing your own credibility?

4. How are you making the transition from peer to supervisor?

5. What did you learn about learning agility that is relevant for you?

6. What insights do you have about your own mental models? Where have they helped? What have they hurt?

SCHOOL OF GOVERNMENT
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Fundamental Supervisory Practices

Day Three & Four Your True TILT and How to Use It

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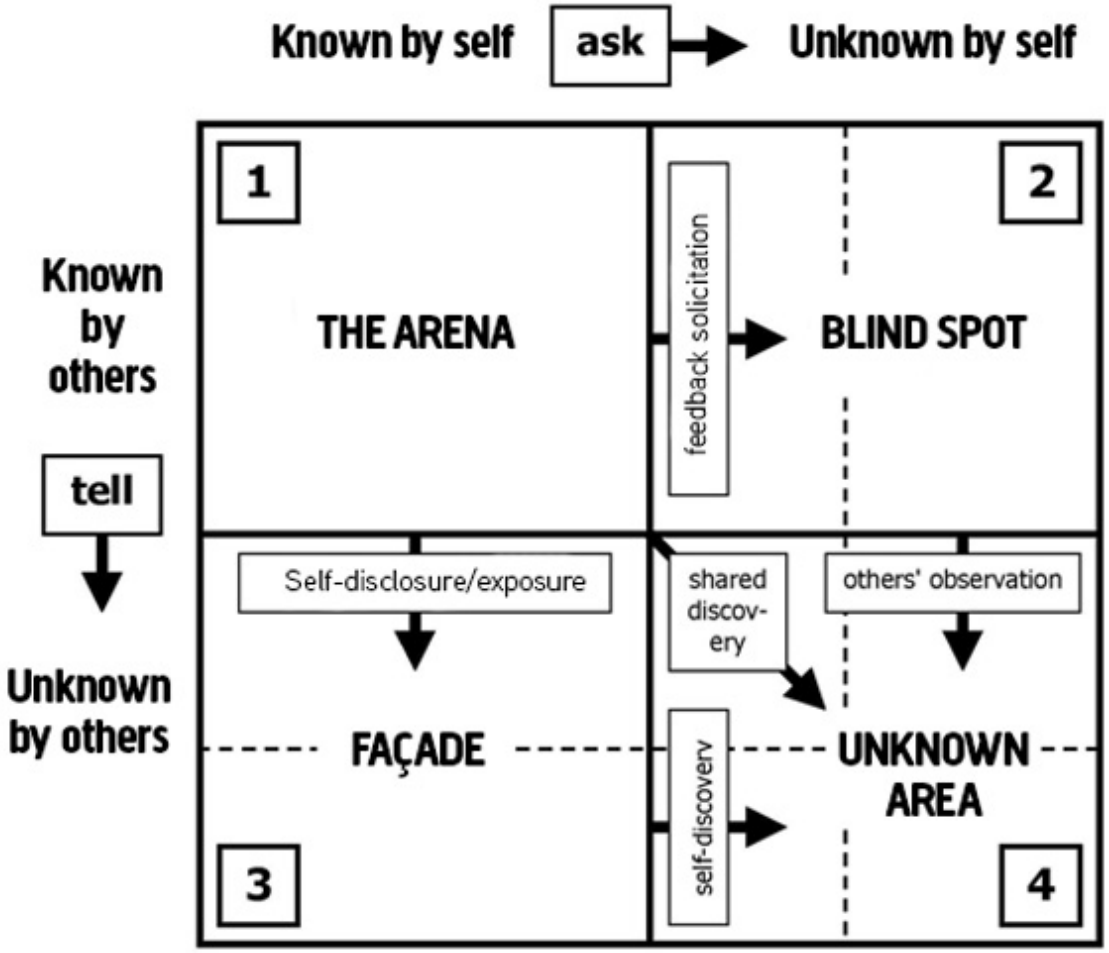
Fundamental Supervisory Practices
Center for Public Leadership and Governance
UNC-School of Government

Session Objectives:

- Introduction to the True TILT model to help increase self-awareness and understanding of your preferred character strengths, how these differ from personality traits and how these show up in your interactions with others.
- Identify situations in which you might over/under use these character traits and identify the impact on you and others.
- Identify ways that you can improve your effectiveness by stretching to other character traits you may be underusing or neglecting.
- Provide a framework and language to help you have productive and meaningful conversations with your direct reports and your manager.
- Identify what motivates you and your direct reports and how to create a climate where employees are engaged.

Johari Window Model



Connection

THE CROSS-POLLINATOR

When you are Tilting in CONNECTION it means you currently appear to be focused on connecting PEOPLE and IDEAS, and your top two character strengths are seen as Likability & Openness. This combination may mean you are tuned in to people and socializing your ideas right now. You may notice you are more alert to the needs of others and can intuit just how to help them. In this mode, you may feel more receptive than usual and can quickly interpret the cues to improvise. You may be focused on expanding social networks and positive influence through others.

Top 2 True Tilt Quadrants: Resilience and Humanity

Top Outcome: Collaboration

Top Question: Who?

Top 2 Motivators: People & Ideas

Top Character Strengths: Openness, Likability, Empathy, Inspiration

Motivates You: Socializing, Storytelling

Internal Motivation Levers: Freedom & Belonging

Demotivates You: Constraints, Judgment

Best Pace: Quick, Spontaneous

Wants from Others: Freedom, Diplomacy

Offers to Others: Acceptance of Differences

Top Emotions: Joy, Laughter

Stress Reaction: Overwhelm, which can cause confusion.

Emotions Under Stress: Guilt, Shame

Inner Stress Experience: deFlect and Flee

Motto: So many ideas, so many people, so little time.

Big Moves: Be Wise. Be Bold..

Structure

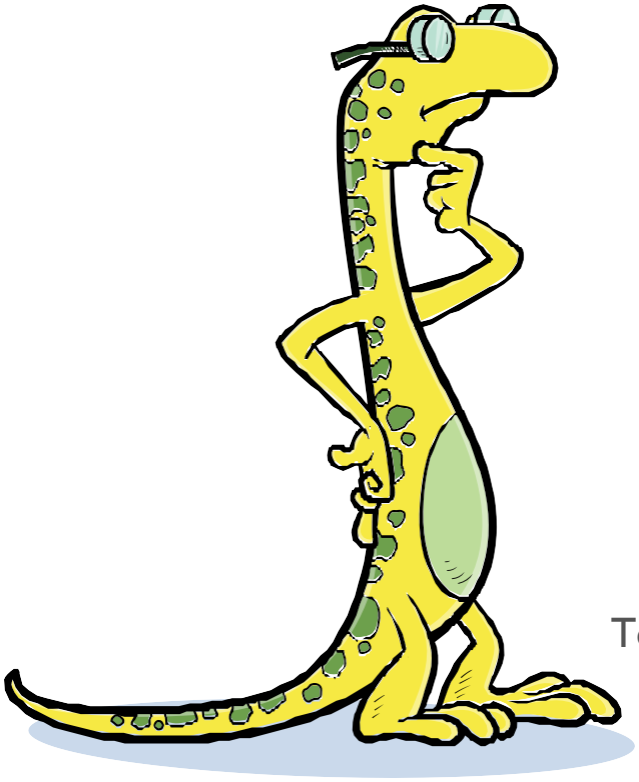
MASTER MIND

When you are Tilting in STRUCTURE it means you currently appear to be focused on connecting DATA and RESULTS, and your top two character strengths are seen as Integrity and Diligence. This combination may indicate that you are focused on execution. This usually relates to masterminding and building intricate, precise systems that offer stability and sustainability over time. You know how to focus and execute work that requires complex reasoning and heavy task orientation, so others will experience you as a bit anti-social until the work is done.

Top 2 True Tilt Quadrants: Wisdom and Courage
Top Outcome: Execution
Top Question: How?
Top 2 Motivators: Data & Results
Top Character Strengths: Diligence, Integrity, Focus, Boldness
Motivates You: Efficiency, Execution
Internal Motivation Levers: Significance & Autonomy
Demotivates You: Emotionality, Ignorance
Best Pace: Measured, Efficient
Wants from Others: Autonomy, Respect
Offers to Others: Decisiveness, Discipline
Top Emotions: Thrills, Pride
Stress Reaction: Obsession, which can cause micromanagement.
Emotions Under Stress: Anger, Disgust
Inner Stress Experience: Freeze and Fight
Motto: Efficiency & precision is perfection.
Big Moves: Be Kind. Be Unique.

Clarity

THE QUIET GENIUS



When you are Tilting in CLARITY it means you currently appear to be focused on connecting PEOPLE and DATA, and your top two character strengths are seen as Trust and Perspective. This combination may mean you are focused on interpreting and analyzing data that can ultimately affect people. Right now, you are not ready to make decisions and instead, are investigating the details thoroughly so you can explore your options. You may find yourself playing an advisory role during this time because others sense they can trust you and find your judgment credible.

Top 2 True Tilt Quadrants: Wisdom and Humanity

Top Outcome: Alignment

Top Question: What?

Top 2 Motivators: People & Data

Top Character Strengths: Trust, Perspective, Empathy, Focus

Motivates You: Researching, Supporting

Internal Motivation Levers: Belonging & Significance

Demotivates You: Rudeness, Rushing

Best Pace: Patient, Thoughtful

Wants from Others: Appreciation, Kindness

Offers to Others: Discernment, Support

Top Emotions: Gratitude, Appreciation

Stress Reaction: Resistance, which can cause status quo.

Emotions Under Stress: Worry, Anxiety

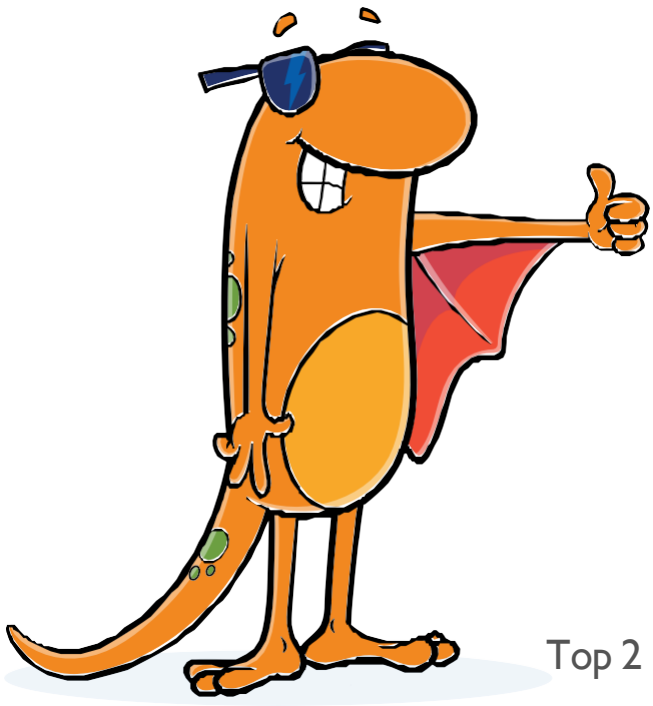
Inner Stress Experience: deFlect and Freeze

Motto: It's better to prepare than regret.

Big Moves: Be Bold. Be Unique.

Impact

THE CHANGE CATALYST



When you are Tilting in IMPACT it means that you currently appear to be focused on connecting IDEAS and RESULTS, and your top two character strengths are seen as Confidence and Creativity. This combination indicates that you may be focused on inventing new solutions that demonstrate your ability to link disparate pieces of information into meaningful expressions of your creative imagination. Your current behaviors are conveying that you appear ready to take risks and want to drive a new idea into action quickly. You may be experiencing a pressing need to follow your gut instinct regarding your hunches.

Top 2 True Tilt Quadrants: Resilience and Courage

Top Outcome: Innovation

Top Question: Why?

Top 2 Motivators: Ideas & Action

Top Character Strengths: Confidence, Creativity, Boldness, Inspiration

Motivates You: Changing the World

Internal Motivation Levers: Autonomy & Freedom

Demotivates You: Resistance, Naysayers

Best Pace: Rocket Speed

Wants from Others: Positivity, Cooperation

Offers to Others: Confidence, Risk-taking

Top Emotions: Urgency, Excitement

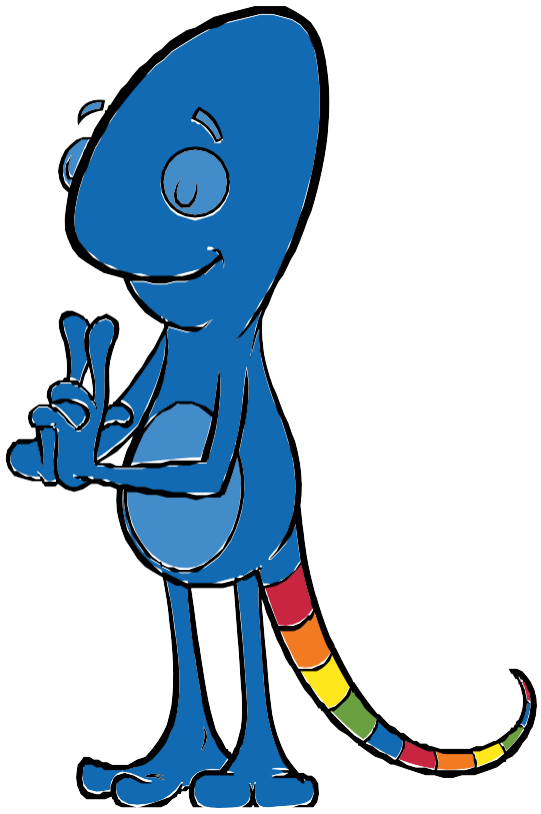
Stress Reaction: Impulsivity, which can cause false starts.

Emotions Under Stress: Anger, Frustration

Inner Stress Experience: Fight and Flee

Motto: Everything that tests me make me feel alive!

Big Moves: Be Kind. Be Wise.



Agile

THE POSITIVE INFLUENCER

When you have developed balance in all of the character strengths on the Tilt Model, then you are able to lean into whatever is needed in a given context. When triggered, you self-regulate your own behavior so that you do not trigger reactionary behavior in others. As a result, you have positive influence on those around you. This enables the people around you to show up at their best too.

Top Question: Where should I Tilt right now?

Top Motivators: Balance and Flow

Top Character Strength: Self-regulation

Motivates You: Creative Contribution in your chosen domain.

Motivation Levers: Being in flow.

Demotivates You: Distraction from flow.

Best Pace: Whatever the current situation needs.

Wants from Others: Character development, so the team can be in flow.

Offers to Others: Model for behavior.

Top Emotions: Gratitude, fulfillment

Stress Reaction: The same as your True Tilt, but you can recover quickly.

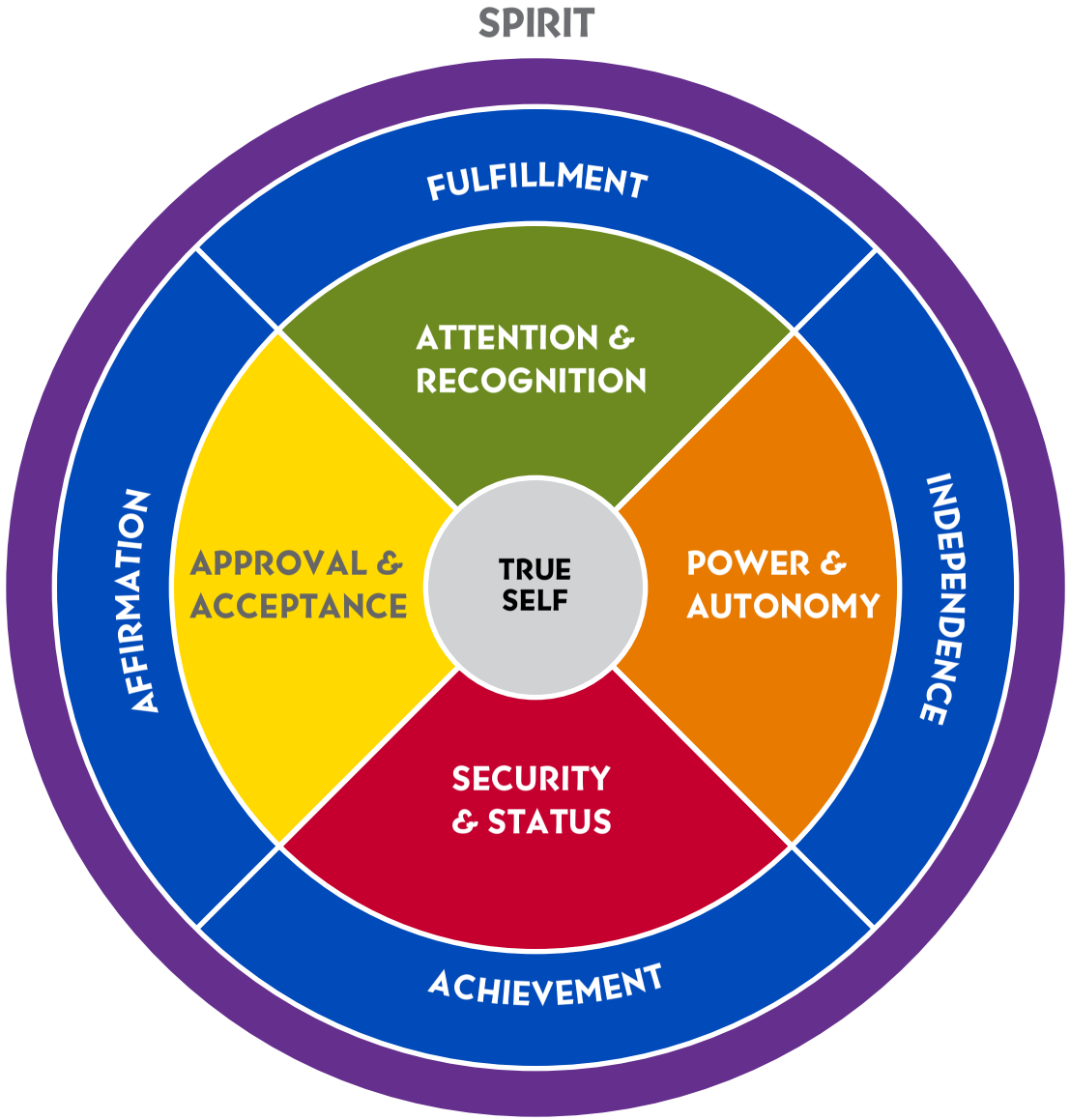
Emotions Under Stress: The same as your True Tilt, but you can recover quickly.

Inner Stress Experience: The same as your True Tilt, but it's less likely to show up and you can recover from it quickly.

Motto: Be Kind, Be Wise, Be Bold, Be Unique, Be Real

Big Moves: What am I doing "big" in the world while I have Positive Influence?

TILT PRESENCE WHEEL



THE SIX MINDSETS	
Purple	Generative
Blue	Agile
Green	Adaptive
Yellow	Integrative
Orange	Competitive
Red	Protective

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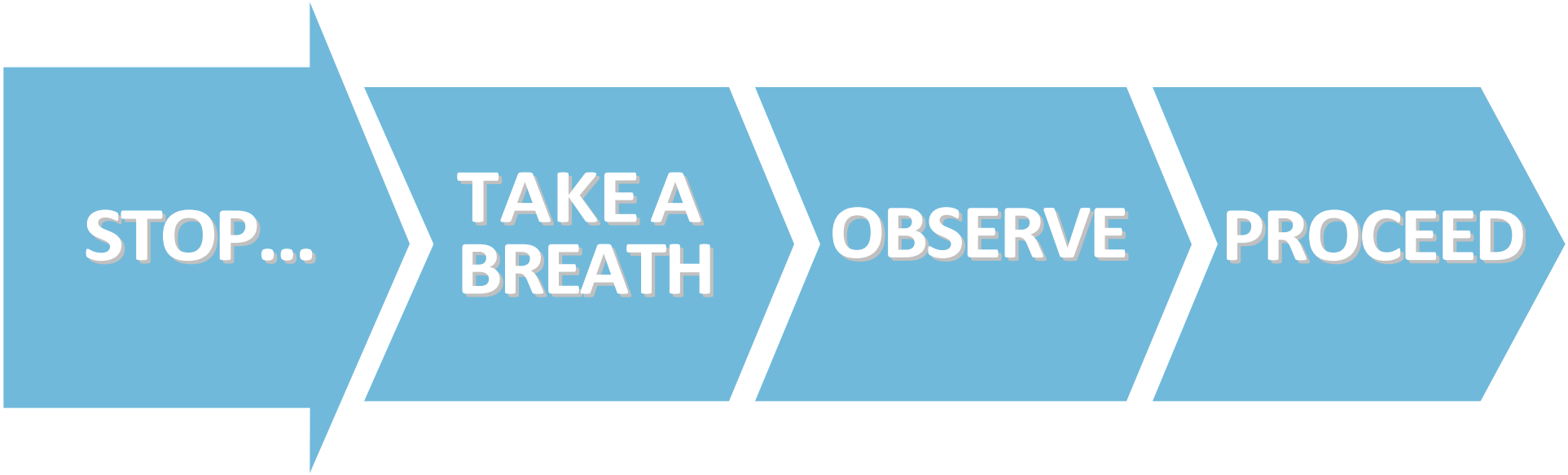
CHOOSING CONSCIOUS, BALANCED RESPONSES.



STOP – and notice what is happening, what is triggering you. Your unconscious reaction will be one of the 4 Fs.
TAKE A BREATH - take a deep breath to calm down the parasympathetic nervous system – and take as long as you need. If that means saying, "I will have to think on this and come back to you," so be it.

OBSERVE - tune into all four parts of your whole self – your emotions, your logic, your "gut" and your spirit. Identify which one you're not paying attention to and has you out of balance.
PROCEED - Choose the response that aligns with your intention for a better outcome.

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TILT PERSONAS & STRENGTHS

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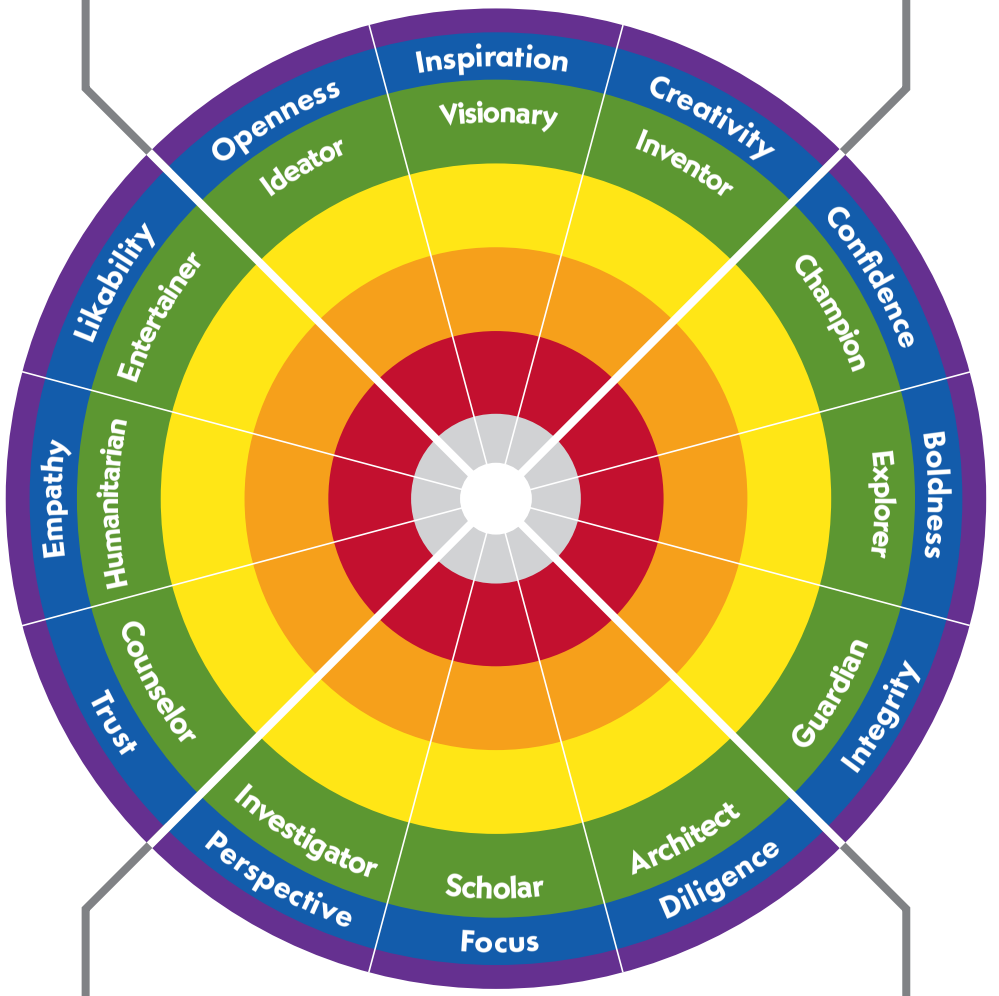
RESILIENCE : SPIRIT
IDEA - DRIVEN

CONNECTION — CHANGE — IMPACT



HUMANITY : HEART
PEOPLE - DRIVEN

COURAGE : GUT
RESULTS - DRIVEN

CLARITY — STABILITY — STRUCTURE

WISDOM : HEAD
DATA - DRIVEN

THE SIX MINDSETS	
Purple	Generative
Blue	Agile
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Orange	Competitive
Red	Protective

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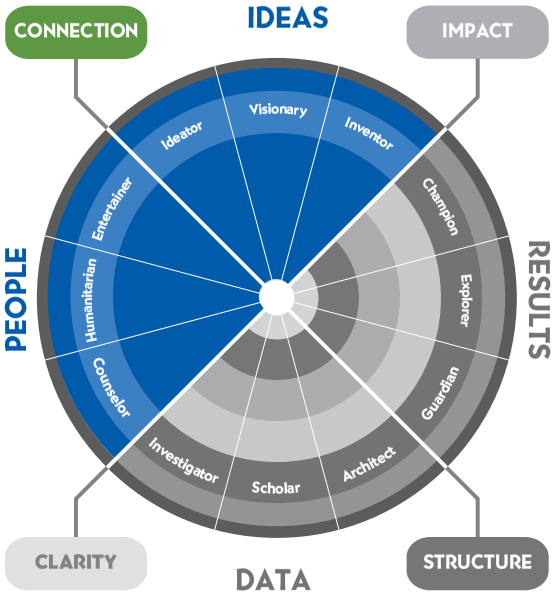
CONNECTION

WHAT THEY CARE ABOUT:

PEOPLE AND IDEAS
ACCEPTANCE AND FREEDOM



WHAT TO LOOK FOR

- Friendly, chatty, enthusiastic
- Short attention span and easily distracted
- Commits easily but doesn't always follow through

HOW THEY SEE THEMSELVES

- Creative and optimistic
- Great at building relationships
- Well-connected and well liked

HOW THEY MAY BE SEEN BY OTHERS

- Overly optimistic with happy ears
- All talk and no action
- Overly focused on relationship not business

RISK TILT - STRUCTURE. CONNECTION MAY VIEW STRUCTURE AS

- Too much detail and can't see the big picture
- Unemotional, critical and inflexible
- Dull, not a lot of fun to be around

THEY EXPECT YOU TO

- Recognition and praise - for everything!
- Positivity, especially for their ideas
- Optimism – it's not that bad, we can do this!

DO

- ➤ Recognise the need for chit-chat
- ➤ Give the big picture
- ➤ Smile and show optimism/enthusiasm

DON'T

- ➤ Pooh-pooh their ideas
- ➤ Use "yes but"
- ➤ Talk for too long

PRESSURE RESPONSE

- FLIP OF DEFLECT– their optimism may miss even seeing a problem or just pretend it's not there. If they do see it they prefer to deflect the blame elsewhere or throw in a distraction to change the subject.

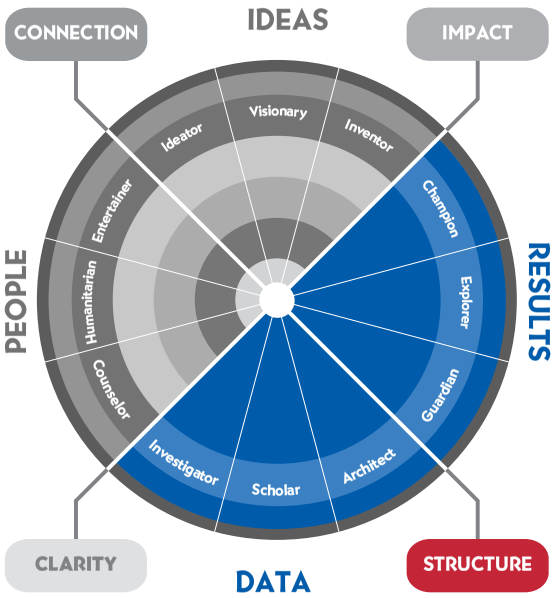
- **IF YOU THINK THEY ARE UNHAPPY WITH YOU!**

Change the environment to something less formal that enables a chat - a coffee, game of golf, anything more sociable.

STRUCTURE

WHAT THEY CARE ABOUT:

RESULTS AND DATA
POWER AND STATUS



WHAT TO LOOK FOR

- Monotonic and factual speech
- Logical and detailed answers/arguments
- Frustration with interruptions or changes of plan

HOW THEY SEE THEMSELVES

- As the only ones capable to get things done
- Reasoned, logical and working to high standards
- Good at planning and execution

HOW THEY MAY BE SEEN BY OTHERS

- Pedantic and critical
- Unemotional, uncaring and inflexible
- Overly focused on details

RISK TILT - CONNECTION. STRUCTURE MAY VIEW CONNECTION AS

- Shallow and lacking in substance
- Not thinking things through
- Distracting and never stop talking

THEY EXPECT YOU TO

- Be thorough and have done your homework
- Be logical in your reasoning
- Have the data to back up what you are saying

DO

- ➤ Think things through before engaging with them
- ➤ Make contact and arrangements by email
- ➤ Be specific and clear in what you are saying or asking

DON'T

- ➤ Interrupt what they are doing or saying
- ➤ Show emotion or try to engage them in small talk
- ➤ Expect immediate enthusiasm or commitment

PRESSURE RESPONSE

- FIGHT OR FREEZE – If they are confident in their data, they will fight their corner strongly. Without it they find it very difficult to act, which may end in analysis paralysis.

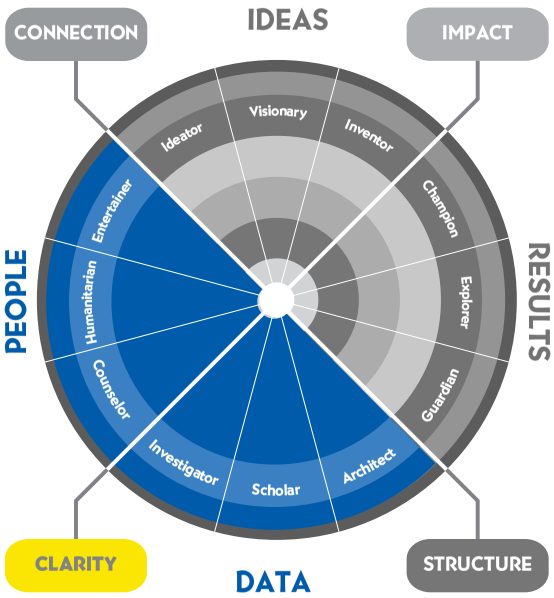
IF YOU THINK THEY ARE UNHAPPY WITH YOU

- Avoid responding too quickly. Give them space then summarise the situation with specifics and in writing, give a logical way forward, ideally based on what they have requested.

CLARITY

WHAT THEY CARE ABOUT:

DATA AND PEOPLE
STATUS AND ACCEPTANCE



WHAT TO LOOK FOR

- Polite, inclusive, caring and liking harmony
- Fair, wanting to do right thing for all
- Cautious, considering all possible outcomes

HOW THEY SEE THEMSELVES

- Cautious and rightly so
- Empathic and caring
- The protectors of quality and people

HOW THEY MAY BE SEEN BY OTHERS

- Indecisive and hesitant
- Overly accommodating and trusting
- Trying too hard to keep everyone happy

RISK TILT - IMPACT. CLARITY MAY VIEW IMPACT AS

- Blunt, aggressive and irritable
- Too quick to come to a solution/decision
- Difficult to know how to deal with

THEY EXPECT YOU TO

- Be courteous and polite
- Respect social conventions
- Act with honesty and integrity

DO

- Reassure them with substance
- Listen and acknowledge their concerns
- Prepare them for what's coming

DON'T

- Ignore potential risks
- Give them too many options
- Expect immediate answers or commitment

PRESSURE RESPONSE

- FREEZE OR DEFLECT– taking fast decisive action isn't easy so they may simply clam up or if challenged, go into the details of what's happened to demonstrate they have done everything properly.

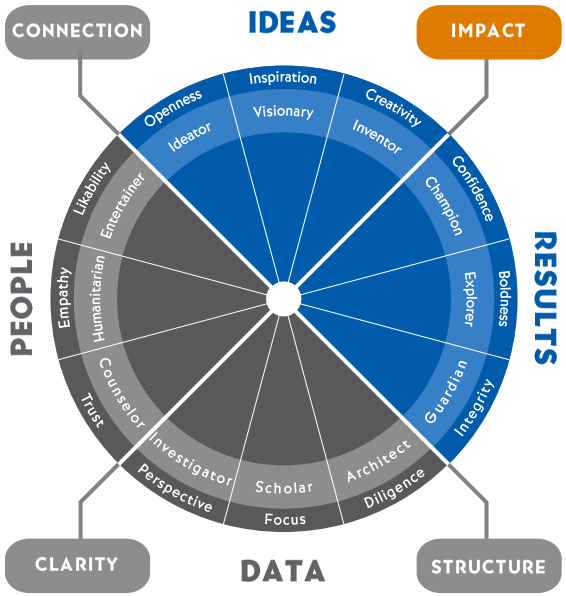
IF YOU THINK THEY ARE UNHAPPY WITH YOU

- Apologise and admit that you hadn't thought things through or hadn't listened to their concerns. Ask for their help to do this, listen properly and summarise this in writing, if needed, before trying to move forward.

IMPACT

WHAT THEY CARE ABOUT:

IDEAS AND RESULTS
FREEDOM AND POWER



WHAT TO LOOK FOR

- Talking big picture and short attention span
- Directness and getting straight down to business
- Taking the lead, taking over, expressing strong opinions
- A wagging finger and the word "I"

HOW THEY SEE THEMSELVES

Someone who:

- Takes the lead and control of a situation
- Is firm, solution oriented and takes action

HOW THEY MAY BE SEEN BY OTHERS

- Blunt, aggressive, uncaring, harsh
- Don't think before acting
- Always wanting to do things their way

RISK TILT - CLARITY. IMPACT MAY VIEW CLARITY AS

- Indecisive and hesitant when action is needed
- Having endless questions and reservations
- Constantly needing answers and direction

THEY EXPECT YOU TO

- Be purposeful, get down to business and get to the point
- Be creative, show substance and have the courage of your convictions
- Stand up for yourself, be decisive and take positive actions

DO

- Demonstrate that you have listened and done your homework
- Show quick thinking and a sense of urgency
- Highlight problems early and come armed with ideas or a solution

DON'T

- Put words in their mouth
- Expect them to engage in idle chit chat
- Mistake directness or bluntness for a lack of rapport or discontentment

PRESSURE RESPONSE

- FLEE OR FIGHT – They may simply ignore the problem or go on the warpath, make snap decisions and expect a similar sense of urgency from you.

IF YOU THINK THEY ARE UNHAPPY WITH YOU!

- Double check you have really listened to what they said and acted accordingly
- Ask for their help

*T*ilt Sentence Starters

To develop your **HUMANITY** quadrant,

Be Kind: Increase RECEPTIVITY

Try these sentence starters:

What I like about this is…

I would be comfortable with...

Some of the possibilities are…

Several ideas are forming about…

I'm interested to hear your ideas...

What do you think this might look like?

We can keep our options open by…

If we consider alternatives…

What pros and cons do you foresee?

Who could we ask about…?

To develop your **RESILIENCE** quadrant,

Be Unique: Increase OPTIMISM

Try these sentence starters:

To do it in that time frame, we'd need to…

Some creative ways to do this might include…

Yes, we could do that if we…

Why not see what happens if…

Let's think of some creative work-arounds.

Yes, and we'll need 'x' to make this work…

The upside to this is…

What if we try…?

Some possibilities could be...

To develop your **WISDOM** quadrant,

Be Wise: Increase SKEPTICISM

Try these sentence starters:

What we need before moving forward is…

To do it in that time frame, we'd need to…

We should be careful to…

The information we have indicates that…

The risks we should consider are...

The information we need first is...

We are limited by…

What I would need to know is…

Let's agree that we won't proceed until…

To develop your **COURAGE** quadrant,

Be Bold: Increase CERTAINTY

Try these sentence starters:

I need you to...

My expectation is...

It's critical that you...

I need this by...

I see the path forward as...

What we know for sure is...

What I'm clear about is...

Thank you but I cannot…

What's going to happen is....

Tilt 365®

TILT FACTORS

THE 4 META FACTORS

	CORE LEADERSHIP STRENGTHS	Under-Developed Traits	Commendable Traits	Over-Used Traits
WISDOM: HEAD — FACTS ▲ JUDGMENT	PERSPECTIVE Practices Good Judgment	Illogical Subjective Irrational Unrealistic	Logical Objective Rational Realistic	Robotic Scrutinizing Skeptical Paranoid
	FOCUS Attends to Priorities	Aimless Reactive Careless Undiscerning	Purposeful Mindful Selective Discerning	Intolerant Stoic Restrictive Critical
	DILIGENCE Effective at Execution	Unproductive Undisciplined Inconsistent Nonchalant	Productive Disciplined Consistent Conscientious	Workaholic Obsessive Rigid Meticulous
HUMANITY: HEART — PEOPLE ▲ HARMONY	LIKABILITY Expands Social Influence	Unapproachable Unappreciative Withholding Intense	Approachable Appreciative Generous Friendly	Permissive Flattering Indulgent Flippant
	EMPATHY Considers the Feelings of Others	Restless Rejecting Disrespectful Blaming	Patient Accepting Respectful Forgiving	Passive Adoring Submissive Excusing
	TRUST Builds Strong Relationships	Boastful Fickle Superficial Unreliable	Humble Loyal Authentic Reliable	Minimizing Resigned Transparent Compliant
COURAGE: GUT — ACTION ▲ JUSTICE	CONFIDENCE Exudes a Commanding Presence	Insecure Indecisive Uncertain Passive	Self-Assured Decisive Certain Assertive	Arrogant Dismissive Defensive Aggressive
	BOLDNESS Willing to Face Risk	Timid Cautious Unengaged Slack	Brave Adventurous Passionate Tenacious	Reckless Destructive Antagonistic Stubborn
	INTEGRITY Serves as a Good Example	Secretive Biased Unethical Political	Honest Fair Ethical Honorable	Blunt Righteous Strict Judgmental
RESILIENCE: SPIRIT — IDEAS ▲ PURPOSE	OPENNESS Insatiable Curiosity for Learning	Unreceptive Complacent Inflexible Inattentive	Receptive Curious Flexible Alert	Chaotic Scattered Erratic Impulsive
	INSPIRATION Casts a Compelling Vision	Withdrawn Mundane Apathetic Pessimistic	Visionary Compelling Enthusiastic Optimistic	Grandiose Overzealous Hyperactive Gullible
	CREATIVITY Designs Inventive Solutions	Uninventive Calculated Unimaginative Dependent	Ingenious Intuitive Innovative Resourceful	Eccentric Opinionated Opportunistic Mischievous

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SCHOOL OF GOVERNMENT
Center for Public Leadership and Governance

Fundamental Supervisory Practices

Assignments

Day Four

NAVIGATING LEGAL ISSUES
WHAT DO YOU THINK?

Directions: Next to each item below, circle the answer that indicates whether you think the statement is True - T or False - F.

T F 1. It is OK to have different performance expectations for employees doing the same job since some employees can handle more work than others.

T F 2. The laws on sexual discrimination and harassment protect men as well as women.

T F 3. It is OK to choose not to hire someone who has a heavy foreign accent that you can barely understand.

T F 4. During a job interview, the candidate tells you she is divorced and has 2 children. Since she brought it up, then this means that I can ask her questions about her family

T F 5. If an employee engages in conduct of a sexual nature in the presence of ten people, and only one person is offended, that person can complain of sexual harassment.

T F 6. An employee does not have to repeat an act of a sexual nature before it can constitute sexual harassment.

T F 7. If an employee I do not supervise tells me about another coworker making sexually suggestive and inappropriate comments, but asks me not to say anything, I should keep her confidence.

T F 8. An employer can be held responsible if a customer, contractor, or other nonemployee harasses an employee.

T F 9. In order to sexually harass a person, you must have the intention of unreasonably interfering with that individual's performance or creating a hostile, intimidating, or offensive environment.

T F 10. It's OK to joke around and call one of your Muslim co-workers "the terrorist" if he laughs about it and also refers to himself as "the terrorist."

T F 11. It is OK to re-assign an employee who complained of harassment to a different job to separate her from the person she is accusing of harassment.

T F 12. Denise is terribly attracted to her boss, Jeff. As a ruse to be alone with him, she asked him to join her for a drink after work on the pretense that she wants to discuss a troubling work situation. After a few drinks, Denise accepts Jeff's offer to drive her home. She insists he come in, and they end up spending the night together at her invitation. This in not harassment.

T F 13. You cannot discipline an employee for any reason when that employee has filed an EEO complaint.

T F 14. An individual you are interviewing for a position comes into the interview in a wheelchair. You can ask her why she needs to use a wheelchair.

T F 15. If an employee has been out on sick leave, I can ask that employee to submit a note from the doctor that he is cleared to return to work.

T F 16. I must create a "light duty" assignment for a pregnant employee.

T F 17. A staff member who has diabetes has requested moving to a private office where she can dim the lights since bright lights irritate her eyes and give her headaches. I don't have to provide her with this office space if it will create complaints of unfairness among the rest of the staff.

T F 18. I must provide a private space for nursing mothers in the workplace that is not the women's restroom.

T F 19. The Fair Labor Standards Act (FLSA) requires that you provide regular breaks to your employees.

T F 20. If an employee voluntarily chooses to do work after normal business hours, he or she does not have to be paid for this work.

T F 21. I can ask my employees to come to work early to get things organized for the day so they will be "ready to roll" when we officially begin work.

T F 22. A staff member has a bumper sticker on his personal car that some of his co-workers find offensive. I can ask him to remove it to "keep the peace" among the staff.

T F 23. One of your employees brings you a Facebook post of another one of your staff members in his work uniform with the caption "Don't come work for the County unless you want to be abused." You can take a disciplinary action against the staff member who made the post.

NOTE: Quiz items on this list are intended to check awareness of employment laws and provoke discussion in a training session facilitated by an HR professional who is not an attorney. Supervisors may need to consult their organization's personnel policy or an attorney to answer specific questions applying to an individual situation.

SCHOOL OF GOVERNMENT
Center for Public Leadership and Governance

Fundamental Supervisory Practices

Day Five
Navigating Legal Issues

Fundamental Supervisory Practices
Center for Public Leadership and Governance
UNC-School of Government
Session 5

Topics covered in today's session:

- Identify the legal issues and key employment laws you have to navigate as a supervisor.
- Review EEOC protected classes and review best practices to prevent discrimination claims.
- Discuss strategies for creating a productive and safe working environment free from harassment.
- Evaluate common employment situations and determine possible response strategies and resources needed for an appropriate response.
- Begin the creation of a personal development plan to assist in the transfer of training from the classroom to the job.

The information presented in the session "Navigating Legal Issues" and the attached materials are not intended to provide a comprehensive overview of all employment laws impacting supervisors in local government. They are meant to guide discussion on legal issues a supervisor may face. The materials were not prepared by an attorney and should not be solely relied upon in any particular situation to guide legal analysis.

NAVIGATING LEGAL ISSUES
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Key EEO and Employment Information for Supervisors
Excerpts from EEOC.gov

Prohibited Employment Policies/Practices

Under the laws enforced by EEOC, it is illegal to discriminate against someone (applicant or employee) because of that person's race, color, religion, sex (including gender identity, sexual orientation, and pregnancy), national origin, age (40 or older), disability or genetic information. It is also illegal to retaliate against a person because he or she complained about discrimination, filed a charge of discrimination, or participated in an employment discrimination investigation or lawsuit.

The law forbids discrimination in every aspect of employment.

The law makes it illegal for an employer to make any employment decision because of a person's race, color, religion, sex (including gender identity, sexual orientation, and pregnancy), national origin, age (40 or older), disability or genetic information. That means an employer may not discriminate when it comes to such things as hiring, firing, promotions, and pay. It also means an employer may not discriminate, for example, when granting breaks, approving leave, assigning work stations, or setting any other term or condition of employment - however small.

Pre-Employment Inquiries (General)

As a general rule, the information obtained and requested through the pre-employment process should be limited to those essential for determining if a person is qualified for the job; whereas, information regarding race, sex, national origin, age, and religion are irrelevant in such determinations.

Employers are explicitly prohibited from making pre-offer inquiries about disability.

Although state and federal equal opportunity laws do not clearly forbid employers from making pre-employment inquiries that relate to, or disproportionately screen out members based on race, color, sex, national origin, religion, or age, such inquiries may be used as evidence of an employer's intent to discriminate unless the questions asked can be justified by some business purpose.

Therefore, inquiries about organizations, clubs, societies, and lodges of which an applicant may be a member or any other questions, which may indicate the applicant's race, sex, national origin, disability status, age, religion, color or ancestry if answered, should generally be avoided.

Similarly, employers should not ask for a photograph of an applicant. If needed for identification purposes, a photograph may be obtained after an offer of employment is made and accepted.

Dress Code

In general, an employer may establish a dress code which applies to all employees or employees within certain job categories. However, there are a few possible exceptions.

While an employer may require all workers to follow a uniform dress code even if the dress code conflicts with some workers' ethnic beliefs or practices, a dress code must not treat some employees less favorably because of their national origin. For example, a dress code that prohibits certain kinds of ethnic dress, such as traditional African or East Indian attire, but otherwise permits casual dress would treat some employees less favorably because of their national origin.

Moreover, if the dress code conflicts with an employee's religious practices and the employee requests an accommodation, the employer must modify the dress code or permit an exception to the dress code unless doing so would result in undue hardship.

Similarly, if an employee requests an accommodation to the dress code because of his disability, the employer must modify the dress code or permit an exception to the dress code, unless doing so would result in undue hardship.

Age Discrimination and Employment Act of 1967 (ADEA)

https://www.eeoc.gov/laws/guidance/fact-sheet-age-discrimination

Actions Prohibited By the ADEA

Under the ADEA, it is unlawful to discriminate against a person because of his or her age with respect to any term, condition, or privilege of employment, including hiring, firing, promotion, layoff, compensation, benefits, job assignments, and training. Harassing an older worker because of age is also prohibited.

It is also unlawful to retaliate against an individual for opposing employment practices that discriminate based on age or for filing an age discrimination charge, testifying, or participating in any way in an investigation, proceeding, or litigation under the ADEA.

The ADEA permits employers to favor older workers based on age even when doing so adversely affects a younger worker who is 40 or older.

Americans with Disabilities Act (ADA) and Americans with Disabilities Act Amendments Act of 2008 (ADAAA)

https://www.eeoc.gov/laws/guidance/ada-your-responsibilities-employer

Disability discrimination occurs when an employer or other entity covered by the Americans with Disabilities Act, as amended, or the Rehabilitation Act, as amended, treats a qualified individual with a disability who is an employee or applicant unfavorably because she has a disability.

Disability discrimination also occurs when a covered employer or other entity treats an applicant or employee less favorably because she has a history of a disability (such as cancer that is controlled or in remission) or because she is believed to have a physical or mental impairment that is not transitory (lasting or expected to last six months or less) and minor (even if she does not have such an impairment).

The law requires an employer to provide reasonable accommodation to an employee or job applicant with a disability, unless doing so would cause significant difficulty or expense for the employer ("undue hardship").

The law also protects people from discrimination based on their relationship with a person with a disability (even if they do not themselves have a disability). For example, it is illegal to discriminate against an employee because her husband has a disability.

Harassment

https://www.eeoc.gov/harassment

Harassment is a form of employment discrimination that violates Title VII of the Civil Rights Act of 1964, the Age Discrimination in Employment Act of 1967, (ADEA), and the Americans with Disabilities Act of 1990, (ADA).

Harassment is unwelcome conduct that is based on race, color, religion, sex (including pregnancy), national origin, age (40 or older), disability or genetic information. Harassment becomes unlawful where 1) enduring the offensive conduct becomes a condition of continued employment, or 2) the conduct is severe or pervasive enough to create a work environment that a reasonable person would consider intimidating, hostile, or abusive. Anti-discrimination laws also prohibit harassment against individuals in retaliation for filing a discrimination charge, testifying, or participating in any way in an investigation, proceeding, or lawsuit under these laws; or opposing employment practices that they reasonably believe discriminate against individuals, in violation of these laws.

Petty slights, annoyances, and isolated incidents (unless extremely serious) will not rise to the level of illegality. To be unlawful, the conduct must create a work environment that would be intimidating, hostile, or offensive to reasonable people.

Offensive conduct may include, but is not limited to, offensive jokes, slurs, epithets or name calling, physical assaults or threats, intimidation, ridicule or mockery, insults or put-downs, offensive objects or pictures, and interference with work performance. Harassment can occur in a variety of circumstances, including, but not limited to, the following:

- The harasser can be the victim's supervisor, a supervisor in another area, an agent of the employer, a co-worker, or a non-employee.
- The victim does not have to be the person harassed, but can be anyone affected by the offensive conduct.

- Unlawful harassment may occur without economic injury to, or discharge of, the victim.

Prevention is the best tool to eliminate harassment in the workplace. Employers are encouraged to take appropriate steps to prevent and correct unlawful harassment. They should clearly communicate to employees that unwelcome harassing conduct will not be tolerated. They can do this by establishing an effective complaint or grievance process, providing anti-harassment training to their managers and employees, and taking immediate and appropriate action when an employee complains. Employers should strive to create an environment in which employees feel free to raise concerns and are confident that those concerns will be addressed.

Employees are encouraged to inform the harasser directly that the conduct is unwelcome and must stop. Employees should also report harassment to management at an early stage to prevent its escalation.

Employer Liability for Harassment

The employer is automatically liable for harassment by a supervisor that results in a negative employment action such as termination, failure to promote or hire, and loss of wages. If the supervisor's harassment results in a hostile work environment, the employer can avoid liability only if it can prove that: 1) it reasonably tried to prevent and promptly correct the harassing behavior; and 2) the employee unreasonably failed to take advantage of any preventive or corrective opportunities provided by the employer.

The employer will be liable for harassment by non-supervisory employees or non-employees over whom it has control (e.g., independent contractors or customers on the premises), if it knew, or should have known about the harassment and failed to take prompt and appropriate corrective action.

When investigating allegations of harassment, the EEOC looks at the entire record: including the nature of the conduct, and the context in which the alleged incidents occurred. A determination of whether harassment is severe or pervasive enough to be illegal is made on a case-by-case basis.

Pregnancy Discrimination Act

https://www.eeoc.gov/laws/guidance/fact-sheet-pregnancy-discrimination

The Pregnancy Discrimination Act (PDA) is an amendment to Title VII of the Civil Rights Act of 1964. Discrimination on the basis of pregnancy, childbirth, or related medical conditions constitutes unlawful sex discrimination under Title VII. Women affected by pregnancy or related conditions must be treated in the same manner as other applicants or employees who are similar in their ability or inability to work.

Hiring and Working Conditions

An employer cannot refuse to hire a woman because of her pregnancy related condition as long as she is able to perform the major functions of her job. An employer cannot refuse to hire her because of its prejudices against pregnant workers or because of the prejudices of co-workers, clients, or

customers. The PDA also forbids discrimination based on pregnancy when it comes to any other aspect of employment, including pay, job assignments, promotions, layoffs, training, fringe benefits, firing, and any other term or condition of employment.

Pregnancy and Maternity Leave

An employer may not single out pregnancy related conditions for medical clearance procedures that are not required of employees who are similar in their ability or inability to work. For example, if an employer requires its employees to submit a doctor's statement concerning their inability to work before granting leave or paying sick benefits, the employer may require employees affected by pregnancy related conditions to do the same.

Pregnant employees must be permitted to work as long as they are able to perform their jobs. If an employee has been absent from work as a result of a pregnancy related condition and recovers, her employer may not require her to remain on leave until the baby's birth. Nor may an employer have a rule that prohibits an employee from returning to work for a predetermined length of time after childbirth.

Under the PDA, an employer that allows temporarily disabled employees to take disability leave or leave without pay must allow an employee who is temporarily disabled due to pregnancy to do the same. Employers must hold open a job for a pregnancy related absence the same length of time that jobs are held open for employees on sick or temporary disability leave.

Further, under the Family and Medical Leave Act (FMLA) of 1993, enforced by the U.S. Department of Labor, a new parent (including foster and adoptive parents) may be eligible for 12 weeks of leave (unpaid, or paid if the employee has earned or accrued it) that may be used for care of the new child. To be eligible, the employee must have worked for the employer for 12 months prior to taking the leave and the employer must have a specified number of employees. For more information please see: www.dol.gov/whd/regs/compliance/whdfs28.htm.

Pregnancy and Temporary Disability

If an employee is temporarily unable to perform her job due to pregnancy, the employer must treat her the same as any other temporarily disabled employee; for example, by providing light duty, modified tasks, alternative assignments, disability leave, or leave without pay.
Additionally, impairments resulting from pregnancy (for example, gestational diabetes) may be disabilities under the Americans with Disabilities Act (ADA). An employer may have to provide a reasonable accommodation for a disability related to pregnancy, absent undue hardship (significant difficulty or expense). For example, an employer may be required to provide modified duties for an employee with a 20-pound lifting restriction stemming from pregnancy related sciatica, absent undue hardship. The ADA Amendments Act of 2008 makes it much easier to show that a medical condition is a covered disability. For more information about the ADA,
see www.eeoc.gov/laws/types/disability.cfm. For information about the ADA Amendments Act,
see www.eeoc.gov/laws/types/disability_regulations.cfm.

Reasonable Accommodation & Religion

The law requires an employer to reasonably accommodate an employee's religious beliefs or practices, unless doing so would cause difficulty or expense for the employer. This means an employer may have to make reasonable adjustments at work that will allow the employee to practice his or her religion, such as allowing an employee to voluntarily swap shifts with a co- worker so that he or she can attend religious services.

Retaliation

https://www.eeoc.gov/laws/guidance/questions-and-answers-enforcement-guidance-retaliation-and-related-issues

The EEO laws prohibit punishing job applicants or employees for asserting their rights to be free from employment discrimination including harassment. Asserting these EEO rights is called "protected activity," and it can take many forms. For example, it is unlawful to retaliate against applicants or employees for:

- filing or being a witness in an EEO charge, complaint, investigation, or lawsuit
- communicating with a supervisor or manager about employment discrimination, including harassment
- answering questions during an employer investigation of alleged harassment
- refusing to follow orders that would result in discrimination
- resisting sexual advances, or intervening to protect others
- requesting accommodation of a disability or for a religious practice
- asking managers or co-workers about salary information to uncover potentially discriminatory wages.

Participating in a complaint process is protected from retaliation under all circumstances. Other acts to oppose discrimination are protected as long as the employee was acting on a reasonable belief that something in the workplace may violate EEO laws, even if he or she did not use legal terminology to describe it.

Engaging in EEO activity, however, does not shield an employee from all discipline or discharge. Employers are free to discipline or terminate workers if motivated by *non-retaliatory and non-discriminatory* reasons that would otherwise result in such consequences. However, an employer is not allowed to do anything in response to EEO activity that would discourage someone from resisting or complaining about future discrimination.

For example, depending on the facts, it could be retaliation if an employer acts because of the employee's EEO activity to:

- reprimand the employee or give a performance evaluation that is lower than it should be;
- transfer the employee to a less desirable position;
- engage in verbal or physical abuse;
- threaten to make, or actually make reports to authorities (such as reporting immigration status or contacting the police);
- increase scrutiny;

- spread false rumors, treat a family member negatively (for example, cancel a contract with the person's spouse); or
- make the person's work more difficult (for example, punishing an employee for an EEO complaint by purposefully changing his work schedule to conflict with family responsibilities).

What You Should Know About COVID-19 and the ADA, the Rehabilitation Act, and Other EEO Laws
https://www.eeoc.gov/laws/guidance/pandemic-preparedness-workplace-and-americans-disabilities-act

Other Employment Laws – enforced by Department of Labor

Fair Labor Standards Act (FLSA)

https://www.dol.gov/agencies/whd/flsa

The FLSA sets rules for minimum wage, overtime pay, equal pay, recordkeeping and child labor protection. Some employees are exempt from the overtime pay provisions. Exemptions are narrowly defined under the FLSA, and generally apply only to a limited number of positions in local government.

The *Patient Protection and Affordable Care Act (PPACA)* amended the FLSA in 2010 and requires reasonable break time and a private space (not a bathroom) for nursing mothers to express milk.

Supervisor "Need to Know"

- Ensure all hours worked by a "non-exempt" employee are accurately recorded. A supervisor approval or signature on a time record indicates agreement.

- Work hours include everything an employee does for work including answering emails from home, getting a vehicle ready for the shift or answering phone calls on a non-paid lunch break. An employer may not refuse to pay for actual hours worked, even if the work was not authorized. If an employee engages in unauthorized work for the organization, the work hours must be compensated. (Follow your disciplinary procedures to address the unauthorized work concern.)

- A non-exempt employee cannot "volunteer" to begin work early or work from home without compensation. This time is considered actual hours worked under the FLSA.

Family and Medical Leave Act (FMLA)

https://www.dol.gov/agencies/whd/fmla

The FMLA provides up to 12 weeks of job-protected leave for serious health condition affecting the employee, to care for a child/spouse/parents including bonding time with a child within the first year after birth or adoption, or for military exigency.

A *"serious health condition"* covers someone who is unable to work or perform other regular activities for three consecutive days and requires continuing treatment from the health care provider. Pregnancy is covered as a serious health condition as well as chronic conditions (such as migraines or asthma) if the condition continues over an extended period of time and the employee requires periodic visits (two or more per year) to a health care provider for treatment.

Supervisor “Need to Know”

- Recognize when an employee’s need for leave (including intermittent leave) may be covered under FMLA and provide the employee with information on how to apply for FMLA leave. Follow any FMLA procedures adopted by your organization.
- An employee cannot be treated differently due to the use of FMLA leave. (For example - denied promotion or merit increases.) The use of FMLA leave cannot be used as a basis for any employment decision or action.

USERRA – Uniformed Services Employment and Reemployment Rights Act

The Uniformed Services Employment and Reemployment Rights Act (USERRA) is a federal law, passed in 1994, that protects military service members and veterans from employment discrimination on the basis of their service, and allows them to regain their civilian jobs following a period of uniformed service.

USERRA is administered by the United States Department of Labor, through the Veterans' Employment and Training Service (VETS). VETS provides assistance to those persons experiencing service connected problems with their civilian employment and provides information about the Act to employers.

Supervisor “Need to Know”

- Seek assistance from HR, your attorney, or VETS services if you have questions related to an employee’s use of military leave.
- Be aware that an employee’s need for regular military leave (such as weekend duty) cannot negatively influence any decision about an employee’s work assignment or work schedule. (Example – not assigning Police Officer to Investigations unit because monthly absences easier to handle in Patrol Unit.)
- You don’t have a "right of refusal" for military leave and cannot take any adverse action against the service member, or threaten to take adverse action, for leaving for service. Similarly, you may be prohibited from taking adverse action against the service member, or threatening to take adverse action, if the service member doesn’t provide notice. However, if your employee’s absence would cause a significant burden, you may contact the commander of your employee's military unit to ask if the duty could be rescheduled or performed by another service member. If this request isn’t fulfilled, you must still provide unpaid leave so your employee can perform his or her military duty, and you can’t take any adverse action against the employee.

Prohibited Employment Interview or Discussion Topics

ITEM	PROHIBITED INFORMATION **(Cannot be used to disqualify candidates. Any discussion should be avoided.)**	LAWFUL INFORMATION **(May be used to disqualify candidates where relevant)**.
AGE	Any inquiry on age, birth certificate. Any inquiry for purpose of excluding persons over 40.	Whether candidate meets minimum age requirements. Whether candidate can meet physical requirements of job with or without reasonable accommodations.
ARREST RECORD	Any inquiry relating to arrest.	None
CONVICTION RECORD	Inquiries regarding convictions that do not relate to performing the particular job under consideration.	Inquiries about actual convictions that relate reasonably to performing a particular job. Examples: Job involving public safety or handling money *after contingent offer of employment.*
CREDIT RATING	Any inquiries concerning charge accounts, credit rating, etc., that do not relate to performing the particular job under consideration.	Inquiries about credit rating, charge accounts, etc., that relate reasonably to performing the particular job in questions. Example: Job involving handling money.
EDUCATION	Disqualification of a candidate who does not have a particular degree unless employer has proven that the specific degree is the only way to measure a candidate's ability to perform the job in question.	Inquiries regarding degrees or equivalent experience. Information regarding courses relevant to a particular job.
DISABILITY	General inquiries that are likely to elicit information about handicaps or a health condition that do not relate to job performance.*	You may ask if a person can do the essential functions of the described job with or without reasonable accommodation if you ask all applicants. *
MARITAL AND FAMILY STATUS	Child care plans or issues, unwed motherhood, contraceptive practices, spouses' preferences regarding job conditions. Inquiries indicating marital status, number of children, pregnancy. Any question directly or indirectly resulting in limitation of job opportunity in any way.	Whether candidate can meet work schedule. Whether candidate has activities, responsibilities, or commitments that may hinder meeting attendance requirements. (Should be asked of candidates of both sexes.)
MILITARY RECORD	Discharge status, unless it is the result of a military conviction.	Type of experience and education in service as it relates to a particular job.
NAME	Inquiries to determine national origin, ancestry, or prior marital status.	Whether candidate has ever worked under a different name.

NATIONAL ORIGIN	Lineage, ancestry descent, mother tongue, birthplace, citizenship. National origin of spouse or parents.	Whether candidate is legally eligible to work in the United States.
ORGANIZATIONS	Inquiries about membership to determine the race, color, religion, sex, national origin, or age of candidate.	Inquiries that should not elicit discriminatory information.
RACE OR COLOR	Complexion, color of skin.	None
RELIGION	Religious preference, affiliation, denomination.	Whether candidate can meet work schedules of job with reasonable accommodation by employer if necessary.
SEX	Sex of applicant, where sex is not a bona fide occupational qualification (BFOQ).	None - The City has no positions where sex is a bona fide occupational qualification.
WORK EXPERIENCE	Inquiries of protected class members based on generalizations about that class.	Candidate's previous job-related experience.
WORKERS' COMPENSATION	Any inquiries about prior worker's compensation claims*	None

NOTE:

Even if discriminatory information is volunteered by the applicant it can still result in a discrimination charge. Should this happen, even if it happens informally (i.e. during a tour) it is necessary for you to provide a disclaimer. Inform the applicant that "*While that's interesting we will not be using that information in making our selection decision."*

In the case of an applicant with a disability, you may discuss "reasonable accommodation" once the job has been fully described to the applicant. Most applicants requiring reasonable accommodations will initiate this discussion. They are almost always the best source for determining what is the most reasonable of accommodations, because they must constantly devise strategies to offset any limitations. Remember, most applicants with disabilities will need little or no accommodation to perform the essential functions of a job.

SUGGESTIONS FOR INTERVIEWING PERSONS WITH DISABILITIES

- Ensure that the interview location is accessible.

- Focus on the ability of an applicant to perform a job - not on the disability.

- Provide the applicant with accurate and sufficient information about the job, including physical and mental requirements.

- Ask the applicant if he/she is able to perform the functions of the position as described without asking questions concerning the disability. The applicant should not be disqualified because of the inability to perform a non-essential function.

- You may ask the applicant to describe or demonstrate how he/she will perform specific job functions, as long as you ask all applicants.

- Tests must be job-related and must be administered to all applicants applying for the position. You must provide reasonable accommodation if requested for the applicant to perform the test, unless the test is intended to measure a job skill that is affected by the applicant's disability.

- Allow the applicant to observe the worksite.

- Avoid making assumptions about an individual's ability to perform the essential functions of the position simply based on your knowledge of the particular disability or your knowledge of another individual with the same or a similar disability.

- Consult a specialist in disabilities and employment before concluding that a particular disability cannot be accommodated at the worksite. Vocational Rehabilitation and the Department of Insurance employ such specialists. The Federal Job Accommodation Network https://askjan.org/ sponsored by the President's Committee on the Employment of People with Disabilities, offers ADA-related fact sheets and materials that answer questions on how to accommodate specific disabilities.

Defensibility Tips to Reduce Risks of Discriminatory Actions

(aka - Top Ten Tips for Staying out of Jail)

1. **Have courage. Address inappropriate behavior once you observe it. Don't ignore it!**
   A supervisor has responsibility for ensuring a respectful workplace. Failure to take action on harassment complaints can lead to both personal and organizational liability through tort claims**.**

2. **Set expectations for employee performance and behavior.**
   Set clear expectations about what type of behavior is expected in the workplace, and what type of behavior is not allowed. Train your employees to understand that harassment in the workplace is prohibited.

3. **Focus on BFOQ's (Bona fide Occupational Qualifications) when making decisions.**
   Make decisions based on fact and analysis rather than assumptions and stereotypes.
   Be sure any pre-employment test is valid, job-related and does not cause adverse impact.

4. **Treat all employees/applicants fairly and consistently.**
   Look at how you have handled previous situations. Think about what precedent you are setting when making decisions. Be consistent in applying discipline to similar situations. Use the same interview questions for all applicants.

5. **Focus on organization's needs, not personal preferences.**
   When making decisions, focus on what is best for the organization. Make sure you can explain to others the rationale behind your decisions.

6. **Follow the same procedures for promotions as for hiring.**
   Create an equal opportunity for all to apply for the promotion; use a standard set of interview questions and selection procedures.

7. **Know and follow your personnel policy and other workplace policies.**
   If your normal practice is different than policy, change or eliminate the policy. If you make a rare exception to the policy, document the reasons for the exception.

8. **Document your actions and decisions. Leave an audit trail.**
   Create notes of counseling sessions with employees. In any disciplinary letter, be clear about reasons for taking the disciplinary action.

9. **Address concerns raised by employees.**
   Do not assume everyone sees the workplace as you do. Take employee complaints and concerns seriously. Listen to the employee's concerns and keep communications open. Follow your organization's procedures for reporting any complaints about harassment or unfair treatment. If applicable, make sure employees understand the grievance process.

10. **Use available resources to assist you.**
    Consult with your supervisor, HR, city/county attorney or other appropriate resources when you are unsure of how to handle a situation. Use legal resources (such as UNC School of Government) as necessary for advice and guidance.

Case Studies
What Would You Do?

Instructions: Choose a reporter in your group. For each scenario below, please describe the potential legal issues, and how you would handle each situation as the supervisor.

1. One of your employees tells you that she is tired of hearing her co-worker John complain about immigrants. Yesterday she overhead John telling a citizen "we need to completely shut the border and stop letting those sub-humans into the country." She says that she was embarrassed when this happened and could tell the citizen was uncomfortable. She also says that John makes some type of derogatory comment every day. She tells you that she knows Jose (another co-worker) is especially bothered by John's behavior, but that he won't speak up because he doesn't want to make things worse with John.

2. You have noticed that several of your employees who hang out together often joke around about each other's love life (or lack thereof) and make rowdy remarks about each other's sexual escapades. It seems that everyone is enjoying the casual banter and joking among friends. The only female in the workgroup often laughs at some of the comments and makes comments about how immature they are, but she has not said this behavior bothers her.

3. Your employee Amy has been out on Family Medical Leave for the last 6 weeks following a recent surgery. Her doctor has released her to come back to work, but you are friends with Amy's husband who told you that Amy was still very weak and not really ready to come back to work but that she had to return because they needed her income to pay the bills.

4. You think your employee Pete has been taking some of his mechanic work tools home and using them on his personal equipment because he has been talking about repairing and restoring an old truck and you saw his work tools in his personal vehicle the last 2 days. Pete is also in the Army Reserves and has to serve weekend duty once per month. For the last 3 months he has told you that he needs to report for weekend duty on Wednesday (rather than Friday) to help set up for the drill weekend. You suspect that Pete is volunteering for this extra duty and are frustrated because this leaves you short-staffed in the garage when he is gone. Today when Pete told you he needed to leave for drill on Wednesday, he also told you that his wife was having surgery next week and he would need to take off at least one week of work to help her during her recovery. This is the same week that another one of the mechanics will be on vacation.

5. Your employee Jill recently told you that she has an autoimmune disorder and when she is having flare-ups of her condition, she is not able to perform her duties as a firefighter because she tires too easily. She has asked to be assigned to light duty when these episodes occur. She wants to keep her health condition private from the employees she works with because she doesn't want them to be afraid of working with her. She is only telling you with hopes that you can find her light duty since her accrued vacation and sick time are running low and she cannot afford to take a leave without pay.

Employment-related legal questions answered by attorneys at the UNC School of Government and found in the following blog posts:

https://canons.sog.unc.edu/firing-at-will-employees-legal-limitations/
https://canons.sog.unc.edu/hey-job-applicant-have-you-ever-been-arrested-or-convicted/
https://canons.sog.unc.edu/public-employers-beware-new-rule-violate-a-policy-your-employee-may-sue-you/
https://canons.sog.unc.edu/secretly-putting-a-gps-tracker-on-your-employees-car-can-you-do-that/
https://canons.sog.unc.edu/when-an-employee-wants-to-record-a-meeting-with-a-supervisor/
https://canons.sog.unc.edu/employment-at-will-vs-right-to-work/
https://canons.sog.unc.edu/questioning-an-employee-about-possibly-criminal-conduct/
https://canons.sog.unc.edu/bad-employee-suggest-he-resign/
https://canons.sog.unc.edu/confidentiality-of-applicants-names/
https://canons.sog.unc.edu/do-we-have-to-advertise-this-position/
https://canons.sog.unc.edu/governmental-employees-and-religious-email-sign-offs/
https://canons.sog.unc.edu/the-first-amendment-and-facebook-rants-a-case-example/
https://canons.sog.unc.edu/understanding-the-limitations-of-north-carolinas-whistleblower-protection-act/

SCHOOL OF GOVERNMENT
Center for Public Leadership and Governance

Fundamental Supervisory Practices

Assignments

Day Five

Fundamental Supervisory Practices
Day 3-5 Reflections with Learning Partner

1. What may trigger my stress reactions?

2. What TILT Quadrants do I tend to overuse?

   _____ and _____

3. What TILT is my flip-side mirror? What are the 2 big moves I can make to help bring me into greater balance? (Note: See page 4 of TILT report)

4. What TILT sentence starters will you start using, if any? How will these help you?

5. Share your guiding principles with your Learning Partner. Why are these important to you? Do you plan to share these with your staff? Why or why not?

6. What have you included on your Personal Development plan after Week One of FSP? Solicit feedback from Learning Partner on Guiding Principles and Personal Development action steps.

What are your Guiding Principles?

Guiding Principles are a set of values that guide your decisions and remind you how to act when managing others. In their book, *Credibility: Why Leaders Gain and Lose It, Why People Demand It,* Kouzes and Posner (2003) note that credibility is strengthened when the leader has a philosophy and acts in ways that are consistent with it. This also requires staying true to these values even in times of adversity.

Developing a set of guiding principles can help you be a more effective supervisor and serve as a framework for managing yourself. Your guiding principles can be written in any style that works for you. Two examples are provided below.

Example 1:

I will follow through and do what I say I will do.

I will make decisions that are in the greatest interest of all, and not just for one person.

I will say “yes” to staff suggestions whenever possible.

I will celebrate accomplishments of staff.

I will approach change with optimism.

I will seek to understand the needs of others.

I will accept responsibility for mistakes.

I will encourage others to make decisions.

Example 2

Lead by example

Be consistent in attitude and actions

Be transparent in decision-making

Help others grow and learn

Set expectations and hold others accountable

Seek feedback from others

Value diversity and foster inclusion

To develop your own guiding principles, consider using the following process.

Step 1: Think about what you would want your staff members to say about you if they were asked to describe you as a supervisor and write those thoughts below.

Step 2: Using the list above, and from considering other relevant self-knowledge, develop 4-8 Guiding Principles that reflect how you want to behave as a supervisor.

Step 3: Examine these principles on a regular basis and ensure your actions are consistent with your Guiding Principles

Fundamentals of Supervision
Personal Development Plan

Date: _____

Key Learnings from Week 1 Class	Skill areas to Develop	Specific actions I will take back at work to develop identified skill.
Key Learnings for Week 2 Class	**Skill areas to Develop**	**Specific actions I will take back at work to develop identified skill.**

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Fundamental Supervisory Practices

Day Six

Diversity, Inclusion, and Belonging: Managing Multiple Generations

Fundamental Supervisory Practices
Center for Public Leadership and Governance
UNC-School of Government

Topics covered in today's session:

- Review many aspects of diversity and the challenges and value it brings to supervision.
- Explore the concepts of inclusion and belonging and the supervisor's responsibility in creating an inclusive environment.
- Review the challenges and benefits of working with multigenerational workforce.

Fundamental Supervisory Practices
Diversity Reflection

1. Think about your work team or organization. What diversity dimensions are valued on your team? Why is this?

2. Is it in your interest to develop greater diversity on your team? If so, why?

3. What specific changes can you make to foster an environment where all feel included and valued?

4. If you need to make changes, how do you pitch those changes to your boss?

Birth Years	Communication Preferences	Work Ethic and Values	Messages/Rewards that Motivate
Baby Boomers (1946-1964)	In-person Talk on the phone	"Work to Live" Crusading Causes Desire quality Personal fulfillment	You are valued. You are needed. Title Recognition/Promotions Having their expertise valued Money
Generation X (1965-1980)	Direct Immediate	Work-life balance Work well independently Want structure and direction Skeptical Self-Reliant	Do it your way. Forget the Rules Freedom is the best reward. Flexible Schedules Skills training- ability to grow
Millennials (Generation Y) (1981-1996)	Email Voicemail Text Social Media	Work-life balance Freedom and Flexibility Goal-oriented Entrepreneurial Tolerant	Continued learning opportunities. Positive work culture Immediate feedback - mentoring Meaningful work
Centennials (Generation Z) 1997- Present	Social Media Text	Security and Stability Hyper-productive Hardworking "Old souls in young bodies"	Money Social Rewards Constant Feedback Responsibility and meaningful work Value their opinions and input

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Fundamental Supervisory Practices

Assignments

Day Six

How to Manage Intergenerational Conflict in the Workplace

By Arlene S. Hirsch
February 5, 2020

When Brian Formato began working as an HR manager for Golden Books, the editorial staffers of the now-defunct publisher of children's books were mostly in their late 50s or early 60s and had been with the company for 25 years or longer.

After the company was purchased, it added more than 200 new jobs in one year, with most new hires being recent college grads. The new generation of employees brought fresh ideas but were also far more focused on immediate gratification than long-term success, Formato said. As a result, many veteran employees took early retirement because they couldn't stand by and watch the company they had devoted their careers to change so drastically overnight.

"What was left was a group of high-energy amateurs that lacked the industry knowledge, as well as the discipline, to negotiate attractive deals with the writers," Formato said. Revenues soon fell. "After more than 50 years in business, the company was forced into bankruptcy."

While this may sound like a typical clash between Millennials and Baby Boomers, it's noteworthy that this happened before Millennials were in the workforce and when most Boomers were in their 40s. However, it does highlight the perennial clash that occurs—in every generation—between newcomers with fresh perspectives and more-experienced elders.

There are at least four generations now in the workplace: Baby Boomers, Generation X, Millennials and Generation Z. Managing a multigenerational workforce with so many different perspectives, experiences, values and goals poses a unique organizational challenge for company leaders, managers and HR professionals. However, "generational differences" aren't always the real issue.

"Companies invest millions of dollars in training and development because of their beliefs about generational differences," said Jennifer C. Deal, a senior research scientist at the Center for Creative Leadership in Greensboro, N.C., and co-author of *What Millennials Want from Work: How to Maximize Engagement in Today's Workforce* (McGraw-Hill Education, 2015). "They do it because they believe it's true, even though the evidence doesn't support those beliefs."

Deal believes that life stage and position are better predictors of behavior than the generation a person was born into. "Most intergenerational conflicts are fundamentally about power or clout," she said. "A young person who wants more clout wants to be noticed. They have new ideas that aren't being listened to. An older person wants their experience to be recognized and appreciated. Everyone wants to be heard and respected."

We need to be careful about generational research because it puts people in a box, said Val Grubb, author of *Clash of the Generations: Managing the New Workplace Reality* (Wiley, 2016) and CEO of Val Grubb and Associates in New Orleans. "The key to understanding someone's behavior is to look at the individual, and the best way to find out how to motivate and engage is to ask them what matters to them."

Establishing Norms for Working Together

Haydn Shaw still finds value in traditional generational research, as long as it does not lead to stereotyping.

"Statistical generalizations are an aid to conversation, not a substitute for it. When it comes to understanding another person, nothing replaces conversation," said Shaw, author of *Sticking Points: How to Get 4 Generations Working Together in the 12 Places They Come Apart* (Tyndale Momentum, 2013). "The greatest fear in my work is that people will try to shortcut by using the categories rather than the conversations."

To stimulate productive conversations, Shaw has identified numerous "sticking points" where generational differences tend to emerge, particularly around the use of technology, communication, feedback, time management, work/life balance and organizational structure. Managers need to start conversations at those points so they can better understand the situation.

In Tammy Erickson's experience, misunderstandings about time and place are common among team members from different generations.

"Older generations tend to be more linear and traditional, while younger generations are looser and more spontaneous around time and place," said Erickson, CEO of Boston-based consulting firm Tammy Erickson Associates. To resolve those differences, she recommends that managers determine which norms work best for the team based on collective preferences and the work that needs to be accomplished.

Preferences around the use of technology is another potential sticking point. Generally, older employees tend to prefer e-mail, while younger employees prefer texting. While preferences matter, experts say the needs and goals of the team as a whole should take priority over any individual preference.

According to research conducted by Kathryn Bartol, a professor of leadership and innovation at the University of Maryland, College Park, communication among team members improves significantly when teams match the technology to the task. While text-based media is generally more useful for sharing daily information, for example, video chats and telephone conversations are better for brainstorming, problem-solving and relationship-building.

Shaw has developed a five-part process to help resolve these differences:

1. **Acknowledge**. Talk about generational differences. "You can't solve a problem if you don't acknowledge it exists."
2. **Appreciate**. Focus on the "why," not the "what," and the common needs. "The 'what' divides us. The 'why' is a uniter."
3. **Flex**. Agree on how to accommodate different approaches.
4. **Leverage**. Maximize the strengths of each generation. For example, if an organization decides to use the messaging platform Slack as a communication tool, there will inevitably be people who are uncomfortable with a technology they don't recognize or understand. A manager or leader can recruit an older team member who is comfortable and experienced in using this technology to coach, train and mentor the novice Slack users.
5. **Resolve**. Determine which option will yield the best results if flexing isn't enough.

Dismantling Stereotypes One Relationship at a Time

"Stereotyping is a symptom of discrimination. It's important to treat people equally but not necessarily the same," Formato said. "Self-awareness is the key to effectively managing generational differences. Managers must be in touch with their own beliefs, values and work attitudes and understand that these may be different from the people they manage."

Managers and leaders need that self-awareness to make sure their own biases are not skewing how work is distributed. "Subtle things that leaders do can undercut respect for diversity of age," Grub said. "Who do you give plum assignments to? Do you automatically assign younger employees to technology because you assume older employees can't handle it? These biases stifle enthusiasm and innovation."

In an Addison Group study (https://addisongroup.com/insights/insight/age-is-just-a-number-the-truth-behind-generational-stereotypes-at-work/) of 1,000 workers representing multiple generations, 90 percent reported satisfaction with the diversity of age ranges in their workplace. However, the study also found that 35 percent feel their company's culture and processes favor one generation over others. Forty-five percent of respondents feel their employers are biased toward Millennials.

Rather than prefer one generation over another, organizations need to develop and recognize the unique value of each individual, as well as the synergy that can be created between people with different experiences and perspectives.

Formato encourages companies to use appreciative inquiry (https://www.centerforappreciativeinquiry.net/more-on-ai/what-is-appreciative-inquiry-ai/) to advance that goal. Appreciative inquiry focuses on strengths rather than weaknesses by recognizing that people with different perspectives and experiences and at different life stages are all able to work collaboratively.

The leader can also help team members build positive relationships by encouraging them to get to know each other better. Volunteer programs often promote this kind of camaraderie, as do team-building exercises.

Formato uses Patrick Lencioni's personal histories activity (https://www.tablegroup.com/download/personal-histories-exercise/) to help team members build trust and find common ground. Each person on a team prepares a slide with photos and answers these three questions:

1. Where did you grow up?
2. How many siblings do you have, and where do you fall in that order?
3. Describe a unique or interesting challenge or experience that shaped who you are.

"This activity always brings a team closer together," Formato said. "People find common experiences, and they get to know the whole person."

This can happen spontaneously as well. When the president of a small New York City foundation asked his employees to share stories about their sports activities in high school, he was delighted to learn that there was a high school fencer on his team. What he didn't anticipate is how the younger women (most of whom were administrative staff) would end up bonding with a much older female executive when she lamented how, in a pre-Title IX era, there weren't a lot of sports teams for women. This led to an equally interesting conversation about life lessons learned through team sports and other team activities.

Although the president started the conversation as an icebreaker, he opened the door to a deeper discussion about what it means to be a member of a team and how each person's personal history informs his or her participation as a team member.

Uniting Around a Common Purpose

When team members rally around a common vision, purpose or goal, there is often a greater sense of unity that, in turn, translates into a better customer experience.

When Formato first began working with a small software-as-a-service company in Santa Clara, Calif., the CEO and senior leadership wanted him to help the team become more closely aligned. One of his first efforts to do so was to ask the team, "What does this company do better, special or different?"

The answers were not well-aligned. After diving deeper into their successes, they discovered that while the software solution was important, what they were really selling was their knowledge and ability to manage relationships.

"They build trust with their clients and are truly focused on customer success," Formato said. He describes this as their "groove" and emphasizes that, as they scale, they must keep their focus on the customer experience. It's a reminder that, as the company continues to grow, customer retention will still be as important as new-customer acquisition.

Although each member of the team has personal strengths, weaknesses and preferences, what unites them all is striving toward a common purpose and set of goals.

"It's up to the leader to make sure they are leveraging their strengths and working together as a team," Formato said.

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SCHOOL OF GOVERNMENT
Center for Public Leadership and Governance

Fundamental Supervisory Practices

Day Seven

Effectively Communicating with Staff

Active Listening

Communication between supervisors and employees can be improved through a technique called Active Listening. Many times we listen until we think of a response and then stop listening and start trying to make our own point. People sense when this happens in interactions and it creates competitive rather than collaborative environments.

Ways you can active listen	**Purpose**	**Examples**
1. being attentive	encourages the person to continue speaking	silence, uh-huh nods of understanding good eye contact
2. restating	paraphrasing what the person said or felt in your own words	"you felt frustrated about that because…. **is that right?"**
3. clarifying	to help you get facts lets person know you heard what he/she said	"as I understand it..." " I heard you say…" **"…is that correct?"**

Restating and clarifying are techniques to check to see if you fully understand and to let the other person know that you have heard their concern.

4. reflecting	helps other person recognize and express feelings, reflect empathy, and to check your inferences	"I sense that you feel____" "your voice sounds--" "you looked (Emotion) when said that" **"Is that accurate?"**

Reflecting is a key skill in emotional conversations. Reflecting back the emotional tone of the message along with restating or clarifying the verbal message is one of the most powerful ways to display empathy and understanding.

5. probing	brings up new information	I'm unclear about something, could you **"tell me more about--"**

Using probing statements such as "Tell me more about that" or "Can you share more of your thinking about that" is a way to make sure you understand the message, and to seek greater clarification and check inferences.

To fully **LISTEN**, you must cultivate a mindset of curiosity and adopt an approach of genuine inquiry. Responding without judgment is also a key skill in effective listening. By asking open-ended questions and probing questions you enable the person to share the relevant information they have regarding the situation, and to help them feel valued and understood.

Active Listening Structured Conversation
Partner Practice

Designate one person to be the Listener, one person to be the Speaker.

The Listener starts by asking the Speaker to briefly describe their job (and may provide any type of active listening response to gain a greater understanding of the job if needed.)

After hearing about the job, the Listener will ask the Speaker the 3 questions below. Following the speaker's response to each question, the listener should provide an active listening response *(clarifying, restating, reflecting, probing)* before asking the other 2 questions.

Please briefly tell me about your job.

When are you happiest at work?

What is your greatest pet peeve at work?

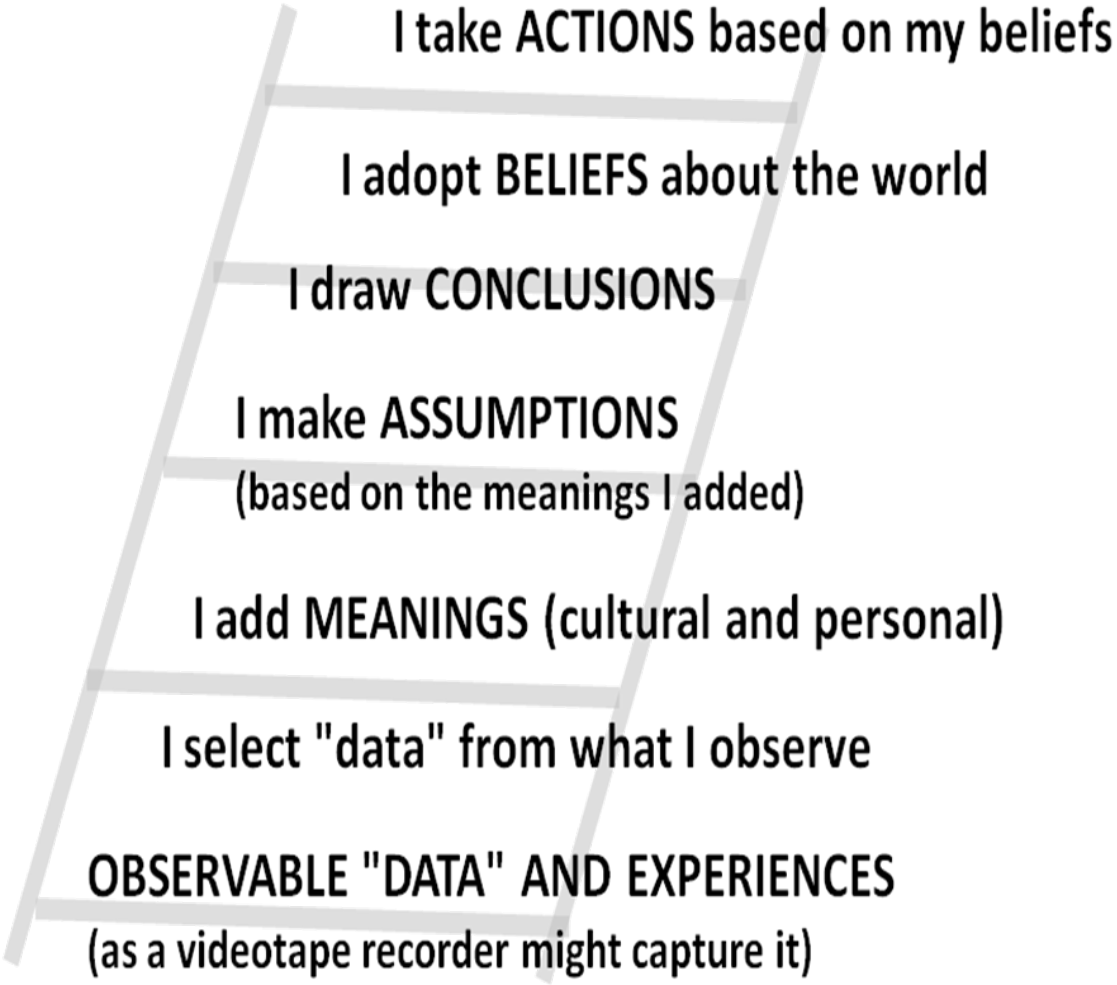
When are you most productive at work?

At the conclusion of the conversation, the Listener should summarize back to the Speaker what he or she learned in the conversation by using the following formula,

"I heard you say_____ ; this makes me think _____; am I correct?"

Switch roles and repeat the same exercise above.

LADDER OF INFERENCE



Test Assumptions and Check Inferences

What is an Inference?

An inference is a conclusion or deduction based on something known or assumed. An inference is therefore your assumption about someone's behavior rather than a description of the behavior itself.

Inferences are the meaning we attribute to observable data; they are conclusions we reach based on known information. Sometimes inferences are helpful, particularly when they are correct. For instance, a mental health professional infers that a patient is acting abnormally and, therefore decides to take extra precautions, or to commit the individual for further examination and treatment. Other times inferences are destructive, particularly when they are wrong. For example, a supervisor assumes that she cannot discuss *any* problems with her boss, because the last time she did her boss got upset.

Accurate or inaccurate, everyone makes inferences; as human beings we make them as naturally as we breathe. Nevertheless, supervisors can learn to be effective by being aware of how they make inferences and by learning to check them out.

The following example demonstrates how we make inferences. Suppose that Diane is a supervisor of her work unit and generally all 5 of her direct reports keep their office doors open while working to enable easy conversation. Tom has shut his office door the last two mornings when Diane was walking down the hall toward his office. Diane observes the behavior - Tom shutting his door as she was coming toward his office. She then begins making negative inferences as described below.

HOW WE MAKE INFERENCES

DIANE'S ACTUAL OBSERVATIONS/INFERENCES	CHARACTERIZATION OF OBSERVATIONS/INFERENCES
Tom is a jerk who can't be trusted.	**High Level Inference** (Characterizing Tom as a person)
Tom is doing personal business on work time and hiding it from me.	**Medium Level Inference** (Characterizing Tom's motives)
Tom does not want to talk with me.	**Low Level Inference** (Characterizing Tom's actions)
The last 2 days, Tom closed the door as Diane walked toward his office to speak with him.	**Observable Behavior** (What Tom actually did)

Notice that the negative inferences that Diane makes place her into the Drama Triangle**.** Therefore, if Diane fails to check out her inferences with Tom, she will act on it (or adjust her behavior based on her assumption. For example, she might avoid Tom except when she has to deal with him. She may also complain about Tom behind his back. She may begin to micromanage Tom's work and fail to share critical information with Tom that she shares with other staff.

Quite likely Tom will observe Diane's behavior toward him. **Assuming he fails to check out his inferences with her, he will probably begin to make inferences about her behavior!** As a result, he may infer that she is a poor leader and cannot be trusted. As a result, his actions reflect his negative perceptions. He begins to avoid her, criticizes her behind her back, and fails to share critical information with her.

Pretty soon, Diane finds herself in a self-fulfilling prophecy. When she saw Tom close his office door when she walked toward it when she wanted to talk with him, she assumed she could not trust Tom, and now, her assumption is being confirmed - he acts mistrustfully toward her. **As a result, she assumes her original inference was accurate!** (Note also that Tom is doing the same thing; he is climbing the ladder of inference without checking them out. If either one of them would check out their inferences, they can break the cycle of this self-fulfilling prophesy.)

How to Check Inferences

The skill of checking inferences involves three steps.

Step #1: Describe the behavior that has led you to make the inference. This shares valid information with the other person so they can understand what behavior has led you to make the inference(s).

Step #2: Share the inference at the lowest level. *By sharing* lower level inferences (inferences about the behavior) the manager or supervisor stays out of the Persecutor role, is less likely to contribute to a defensive climate, and minimizes potential inaccuracies that can occur by jumping several levels of inferences. By sharing inferences at the highest level ("you are a jerk who cannot be trusted"), the manager will likely precipitate an angry defensive reaction.

Step #3: Ask for the other person's perspective. This allows you to go right to the source and validate or invalidate the inference.

Illustration:

Step #1: Diane says, "Tom, I observed that you closed your door the last 2 days as I was walking towards your office to speak to you."

Step #2: When that happened, I got the feeling that you did not want to speak with me and were telling me to stay away and that concerned me because I thought we had a good working relationship.

Step #3: Would you share your views regarding my impressions?

Perhaps in response Tom would agree he did not want to speak with her and he may also offer a response to explain why he closed the door and what he was doing when she came by. He may say, "You are right, I closed the door because I am handling some personal issues since my mother is in hospice care and I have been very upset and do not want to talk with anyone." Obviously, such a response probably indicates Diane has made an inaccurate inference.

The term "probably" was used in the last sentence because there is no guarantee that Tom is being truthful. It is our experience that people will tend to be truthful when the skill of *Checking Inferences* is used. If Tom is not being truthful, Diane will likely observe other behaviors, such as a pattern of avoiding her at work, not being engaged in the work, criticism behind her back, or withholding information that would cause her to infer that Tom is not truthful. Once again, she can refer to those behaviors to check out her inferences further.

IMPLICATIONS

1. Inferences can be positive or negative. *In either case, they can be wrong and ineffective.* At first glance, it may seem that positive inferences avoid being ineffective, but they do not. For example, suppose that the police employee assumes that the suspect is merely reaching for a wallet, when in fact he is drawing a gun. Similarly, Diane may assume Tom is dealing with a personal issue because he has closed his door the last two days, but he is in fact using work time for personal business and does not want to let her know. Other staff members may also be observing the behavior and making the same inference Diane has made. By not checking out her positive inference, she assumes that Tom has a valid reason for closing his door when in fact he does not. Therefore, positive inferences should also be checked.

2. The skill of checking inferences highlights *how much influence we have over negative emotions.* Diane makes her own choices with respect to her inferences. If she chooses to hold on to her negative emotions toward Tom (and fail to check out her inference), she is responsible for her negative feelings - not Tom. To take responsibility for resolving her negative feelings, she should check out her inferences.

Active Listening Skill Practice - Trios

1. Take one minute to think of a work situation that is/was challenging for you.

2. Choose who will be the Speaker, Listener and Observer for all 3 rounds, making sure that each person gets to be in each role one time.

3. The Observer sets the timer for 5 minutes.

4. The speaker starts by making a short (no more than 30 seconds) **general** statement about the challenging work situation.

5. The Listener will use active listening skills and test inferences during the discussion.

6. The observer will watch for the Listener's use of the following skills during the discussion:
    - Being attentive
    - Restating
    - Clarifying
    - Reflecting
    - Probing (asking Open-ended questions)
    - Checking assumptions and inferences

7. Continue discussion until time is up. If conversation gets to natural stopping point before time is up, change topics and have the speaker start speaking on the topic: "What worries me most about being a supervisor is_____" .

8. When time is up, the Observer gives feedback to the Listener by using the feedback formula:

    I thought it was effective when you _____*(describe use of observed skills)* because _____ *(describe observed impact.)*

    It might have been even more effective if you had _____ *(describe where additional active listening skills may have been used)* because _____*(describe potential benefit to using the skill).*

    Example: I thought it was effective *when you asked her "and what else made you think that?"* because *she gave another example which made things clearer.* It might have been even more effective *if you had reflected back to her what she said in the beginning before jumping right into the questions because it would have reinforced to her that you heard what she said.*

9. Switch roles and repeat.

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Management Time: Who's Got the Monkey?

by *William Oncken, Jr.,* and *Donald L. Wass*

The burdens of subordinates always seem to end up on the manager's back. Here's how to get rid of them.

This article was originally published in the November–December 1974 issue of HBR and has been one of the publication's two best-selling reprints ever.

For its reissue as a Classic, the *Harvard Business Review* asked Stephen R. Covey to provide a commentary.

Why is it that managers are typically running out of time while their subordinates are typically running out of work? Here we shall explore the meaning of management time as it relates to the interaction between managers and their bosses, their peers, and their subordinates.

Specifically, we shall deal with three kinds of management time:

Boss-imposed time—used to accomplish those activities that the boss requires and that the manager cannot disregard without direct and swift penalty.

System-imposed time—used to accommodate requests from peers for active support. Neglecting these requests will also result in penalties, though not always as direct or swift.

Self-imposed time—used to do those things that the manager originates or agrees to do. A certain portion of this kind of time, however, will be taken by subordinates and is called *subordinate-imposed time*. The remaining portion will be the manager's own and is called *discretionary time*. Self-imposed time is not subject to penalty since neither the boss nor the system can discipline the manager for not doing what they didn't know he had intended to do in the first place.

To accommodate those demands, managers need to control the timing and the content of what they do. Since what their bosses and the system impose on them are subject to penalty, managers cannot tamper with those requirements. Thus their self-imposed time becomes their major area of concern.

Managers should try to increase the discretionary component of their self-imposed time by minimizing or doing away with the subordinate component. They will then use the added increment to get better control over their boss-imposed and system-imposed activities. Most managers spend much more time dealing with subordinates' problems than they even faintly realize. Hence we shall use the monkey-on-the-back metaphor to examine how subordinate-imposed time comes into being and what the superior can do about it.

Where Is the Monkey?

Let us imagine that a manager is walking down the hall and that he notices one of his subordinates, Jones, coming his way. When the two meet, Jones greets the manager with, "Good morning. By the way, we've got a problem. You see...." As Jones continues, the manager recognizes in this problem the two characteristics common to all the problems his subordinates gratuitously bring to his attention. Namely, the manager knows (a) enough to get involved, but (b) not enough to make the on-the-spot decision expected of him. Eventually, the manager says, "So glad you brought this up. I'm in a rush right now. Meanwhile, let me think about it, and I'll let you know." Then he and Jones part company.

Let us analyze what just happened. Before the two of them met, on whose back was the "monkey"? The subordinate's. After they parted, on whose back was it? The manager's. Subordinate-imposed time begins the moment a monkey successfully leaps from the back of a subordinate to the back of his or her superior and does not end until the monkey is returned to its proper owner for care and feeding. In accepting the monkey, the manager has voluntarily assumed a position subordinate to his subordinate. That is, he has allowed Jones to make him her subordinate by doing two things a subordinate is generally expected to do for a boss—the manager has accepted a responsibility from his subordinate,

and the manager has promised her a progress report.

The subordinate, to make sure the manager does not miss this point, will later stick her head in the manager's office and cheerily query, "How's it coming?" (This is called supervision.)

Or let us imagine in concluding a conference with Johnson, another subordinate, the manager's parting words are, "Fine. Send me a memo on that."

Let us analyze this one. The monkey is now on the subordinate's back because the next move is his, but it is poised for a leap. Watch that monkey. Johnson dutifully writes the requested memo and drops it in his out-basket. Shortly thereafter, the manager plucks it from his in-basket and reads it. Whose move is it now? The manager's. If he does not make that move soon, he will get a follow-up memo from the subordinate. (This is another form of supervision.) The longer the manager delays, the more frustrated the subordinate will become (he'll be spinning his wheels) and the more guilty the manager will feel (his backlog of subordinate-imposed time will be mounting).

Or suppose once again that at a meeting with a third subordinate, Smith, the manager agrees to provide all the necessary backing for a public relations proposal he has just asked Smith to develop. The manager's parting words to her are, "Just let me know how I can help."

Now let us analyze this. Again the monkey is initially on the subordinate's back. But for how long? Smith realizes that she cannot let the manager "know" until her proposal has the manager's approval. And from experience, she also realizes that her proposal will likely be sitting in the manager's briefcase for weeks before he eventually gets to it. Who's really got the monkey? Who will be checking up on whom? Wheel spinning and bottlenecking are well on their way again.

A fourth subordinate, Reed, has just been transferred from another part of the company so that he can launch and eventually manage a newly created business venture. The manager has said they should get together soon to hammer out a set of objectives for the new job, adding, "I will draw up an initial draft for discussion with you."

Let us analyze this one, too. The subordinate has the new job (by formal assignment) and the full responsibility (by formal delegation), but the manager has the next move. Until he makes it, he will have the monkey, and the subordinate will be immobilized.

Why does all of this happen? Because in each instance the manager and the subordinate assume at the outset, wittingly or unwittingly, that the matter under consideration is a joint problem. The monkey in each case begins its career astride both their backs. All it has to do is move the wrong leg, and—presto!—the subordinate deftly disappears. The manager is thus left with another acquisition for his menagerie. Of course, monkeys can be trained not to move the wrong leg. But it is easier to prevent them from straddling backs in the first place.

Who Is Working for Whom?

Let us suppose that these same four subordinates are so thoughtful and considerate of their superior's time that they take pains to allow no more than three monkeys to leap from each of their backs to his in any one day. In a five-day week, the manager will have picked up 60 screaming monkeys—far too many to do anything about them individually. So he spends his subordinate-imposed time juggling his "priorities."

Late Friday afternoon, the manager is in his office with the door closed for privacy so he can contemplate the situation, while his subordinates are waiting outside to get their last chance before the weekend to remind him that he will have to "fish or cut bait." Imagine what they are saying to one another about the manager as they wait: "What a bottleneck. He just can't make up his mind. How anyone ever got that high up in our company without being able to make a decision we'll never know."

Worst of all, the reason the manager cannot make any of these "next moves" is that his time is almost entirely eaten up by meeting his own boss-imposed and system-imposed requirements. To control those tasks, he needs discretionary time that is in turn denied him when he is preoccupied with all these monkeys. The manager is caught in a vicious circle. But time is a-wasting (an understatement). The manager calls his secretary on the intercom and instructs her to tell his subordinates that he won't be able to see them until Monday morning. At 7 pm, he drives home, intending with firm resolve to return to the office tomorrow to get caught up over the weekend. He returns bright and early the next day only to see, on the nearest green of the golf course across from his office window, a foursome. Guess who?

That does it. He now knows who is really working for whom. Moreover, he now sees that if he actually accomplishes during this weekend what he came to accomplish, his subordinates' morale will go up so sharply that they will each raise the limit on the number of monkeys they will let jump from their backs to his. In short, he now sees, with the clarity of a revelation on a mountaintop, that the more he gets caught up, the more he will fall behind.

He leaves the office with the speed of a person running away from a plague. His plan? To get caught up on something else he hasn't had time for in years: a weekend with his family. (This is one of the many varieties of discretionary time.)

Sunday night he enjoys ten hours of sweet, untroubled slumber, because he has clear-cut plans for Monday. He is going to get rid of his subordinate-imposed time. In exchange, he will get an equal amount of discretionary time, part of which he will spend with his subordinates to make sure that they learn the difficult but rewarding managerial art called

"The Care and Feeding of Monkeys."

The manager will also have plenty of discretionary time left over for getting control of the timing and the content not only of his boss-imposed time but also of his system-imposed time. It may take months, but compared with the way things have been, the rewards will be enormous. His ultimate objective is to manage his time.

Getting Rid of the Monkeys

The manager returns to the office Monday morning just late enough so that his four subordinates have collected outside his office waiting to see him about their monkeys. He calls them in one by one. The purpose of each interview is to take a monkey, place it on the desk between them, and figure out together how the next move might conceivably be the subordinate's. For certain monkeys, that will take some doing. The subordinate's next move may be so elusive that the manager may decide—just for now—merely to let the monkey sleep on the subordinate's back overnight and have him or her return with it at an appointed time the next morning to continue the joint quest for a more substantive move by the subordinate. (Monkeys sleep just as soundly overnight on subordinates' backs as they do on superiors'.)

As each subordinate leaves the office, the manager is rewarded by the sight of a monkey leaving his office on the subordinate's back. For the next 24 hours, the subordinate will not be waiting for the manager; instead, the manager will be waiting for the subordinate.

Later, as if to remind himself that there is no law against his engaging in a constructive exercise in the interim, the manager strolls by the subordinate's office, sticks his head in the door, and cheerily asks, "How's it coming?" (The time consumed in doing this is discretionary for the manager and boss imposed for the subordinate.)

When the subordinate (with the monkey on his or her back) and the manager meet at the appointed hour the next day, the manager explains the ground rules in words to this effect:

"At no time while I am helping you with this or any other problem will your problem become my problem. The instant your problem becomes mine, you no longer have a problem. I cannot help a person who hasn't got a problem.

"When this meeting is over, the problem will leave this office exactly the way it came in—on your back. You may ask my help at any appointed time, and we will make a joint determination of what the next move will be and which of us will make it.

"In those rare instances where the next move turns out to be mine, you and I will determine it together. I will not make any move alone."

The manager follows this same line of thought with each subordinate until about 11 am, when he realizes that he doesn't have to close his door. His monkeys are gone. They will return—but by appointment only. His calendar will assure this.

Transferring the Initiative

What we have been driving at in this monkey-on-the-back analogy is that managers can transfer initiative back to their subordinates and keep it there. We have tried to highlight a truism as obvious as it is subtle: namely, before developing initiative in subordinates, the manager must see to it that they *have* the initiative. Once the manager takes it back, he will no longer have it and he can kiss his discretionary time good-bye. It will all revert to subordinate-imposed time.

Nor can the manager and the subordinate effectively have the same initiative at the same time. The opener, "Boss, we've got a problem," implies this duality and represents, as noted earlier, a monkey astride two backs, which is a very bad way to start a monkey on its career. Let us, therefore, take a few moments to examine what we call "The Anatomy of Managerial Initiative."

There are five degrees of initiative that the manager can exercise in relation to the boss and to the system:

1. wait until told (lowest initiative);

2. ask what to do;

3. recommend, then take resulting action;

4. act, but advise at once;

5. and act on own, then routinely report (highest initiative).

Clearly, the manager should be professional enough not to indulge in initiatives 1 and 2 in relation either to the boss or to the system. A manager who uses initiative 1 has no control over either the timing or the content of boss-imposed or system-imposed time and thereby forfeits any right to complain about what he or she is told to do or when. The manager who uses initiative 2 has control over the timing but not over the content. Initiatives 3, 4, and 5 leave the manager in control of both, with the greatest amount of control being exercised at level 5.

In relation to subordinates, the manager's job is twofold. First, to outlaw the use of initiatives 1 and 2, thus giving subordinates no choice but to learn and master "Completed Staff Work." Second, to see that for each problem leaving his or her office there is an agreed-upon level of initiative assigned to it, in addition to an agreed-upon time and place for the next manager-subordinate conference. The latter should be duly noted on the manager's calendar.

The Care and Feeding of Monkeys

To further clarify our analogy between the monkey on the back and the processes of assigning and controlling, we shall refer briefly to the manager's appointment schedule, which calls for five hard-and-fast rules governing the "Care and Feeding of Monkeys." (Violation of these rules will cost discretionary time.)

Rule 1.

Monkeys should be fed or shot. Otherwise, they will starve to death, and the manager will waste valuable time on postmortems or attempted resurrections.

Rule 2.

The monkey population should be kept below the maximum number the manager has time to feed. Subordinates will find time to work as many monkeys as he or she finds time to feed, but no more. It shouldn't take more than five to 15 minutes to feed a properly maintained monkey.

Making Time for Gorillas (Located at the end of this article)

Rule 3.

Monkeys should be fed by appointment only. The manager should not have to hunt down starving monkeys and feed them on a catch-as-catch-can basis.

Rule 4.

Monkeys should be fed face-to-face or by telephone, but never by mail. (Remember—with mail, the next move will be the manager's.) Documentation may add to the feeding process, but it cannot take the place of feeding.

Rule 5.

Every monkey should have an assigned next feeding time and degree of initiative. These may be revised at any time by mutual consent but never allowed to become vague or indefinite. Otherwise, the monkey will either starve to death or wind up on the manager's back.

• • •

"Get control over the timing and content of what you do" is appropriate advice for managing time. The first order of business is for the manager to enlarge his or her discretionary time by eliminating subordinate-imposed time. The second is for the manager to use a portion of this newfound discretionary time to see to it that each subordinate actually has the initiative and applies it. The third is for the manager to use another portion of the increased discretionary time to get and keep control of the timing and content of both boss-imposed and system-imposed time. All these steps will increase the manager's leverage and enable the value of each hour spent in managing management time to multiply without theoretical limit.

Making Time for Gorillas

by Stephen R. Covey

When Bill Oncken wrote this article in 1974, managers were in a terrible bind. They were desperate for a way to free up their time, but command and control was the status quo. Managers felt they weren't allowed to empower their subordinates to make decisions. Too dangerous. Too risky. That's why Oncken's message—give the monkey back to its rightful owner—involved a critically important paradigm shift. Many managers working today owe him a debt of gratitude.

It is something of an understatement, however, to observe that much has changed since Oncken's radical recommendation. Command and control as a management philosophy is all but dead, and "empowerment" is the word of the day in most organizations trying to thrive in global, intensely competitive markets. But command and control stubbornly remains a common practice. Management thinkers and executives have discovered in the last decade that bosses cannot just give a monkey back to their subordinates and then merrily get on with their own business. Empowering subordinates is hard and complicated work.

The reason: when you give problems back to subordinates to solve themselves, you have to be sure that they have both

the desire and the ability to do so. As every executive knows, that isn't always the case. Enter a whole new set of problems. Empowerment often means you have to develop people, which is initially much more time consuming than solving the problem on your own.

Just as important, empowerment can only thrive when the whole organization buys into it—when formal systems and the informal culture support it. Managers need to be rewarded for delegating decisions and developing people. Otherwise, the degree of real empowerment in an organization will vary according to the beliefs and practices of individual managers.

But perhaps the most important lesson about empowerment is that effective delegation—the kind Oncken advocated—depends on a trusting relationship between a manager and his subordinate. Oncken's message may have been ahead of his time, but what he suggested was still a fairly dictatorial solution. He basically told bosses, "Give the problem back!" Today, we know that this approach by itself is too authoritarian. To delegate effectively, executives need to establish a running dialogue with subordinates. They need to establish a partnership. After all, if subordinates are afraid of failing in front of their boss, they'll keep coming back for help rather than truly take initiative.

Oncken's article also doesn't address an aspect of delegation that has greatly interested me during the past two decades—that many managers are actually *eager* to take on their subordinates' monkeys. Nearly all the managers I talk with agree that their people are underutilized in their present jobs. But even some of the most successful, seemingly self-assured executives have talked about how hard it is to give up control to their subordinates.

I've come to attribute that eagerness for control to a common, deep-seated belief that rewards in life are scarce and fragile. Whether they learn it from their family, school, or athletics, many people establish an identity by comparing themselves with others. When they see others gain power, information, money, or recognition, for instance, they experience what the psychologist Abraham Maslow called "a feeling of deficiency"—a sense that something is being taken from them. That makes it hard for them to be genuinely happy about the success of others—even of their loved ones. Oncken implies that managers can easily give back or refuse monkeys, but many managers may subconsciously fear that a subordinate taking the initiative will make them appear a little less strong and a little more vulnerable.

How, then, do managers develop the inward security, the mentality of "abundance," that would enable them to relinquish control and seek the growth and development of those around them? The work I've done with numerous organizations suggests that managers who live with integrity according to a principle-based value system are most likely to sustain an empowering style of leadership.

Given the times in which he wrote, it was no wonder that Oncken's message resonated with managers. But it was reinforced by Oncken's wonderful gift for storytelling. I got to know Oncken on the speaker's circuit in the 1970s, and I was always impressed by how he dramatized his ideas in colorful detail. Like the Dilbert comic strip, Oncken had a tongue-in-cheek style that got to the core of managers' frustrations and made them want to take back control of their time. And the monkey on your back wasn't just a metaphor for Oncken—it was his personal symbol. I saw him several times walking through airports with a stuffed monkey on his shoulder.

I'm not surprised that his article is one of the two best-selling HBR articles ever. Even with all we know about empowerment, its vivid message is even more important and relevant now than it was 25 years ago. Indeed, Oncken's insight is a basis for my own work on time management, in which I have people categorize their activities according to urgency and importance. I've heard from executives again and again that half or more of their time is spent on matters that are urgent but not important. They're trapped in an endless cycle of dealing with other people's monkeys, yet they're reluctant to help those people take their own initiative. As a result, they're often too busy to spend the time they need on the real gorillas in their organization. Oncken's article remains a powerful wake-up call for managers who need to delegate effectively.

Stephen R. Covey is vice chairman of the Franklin Covey Company, a global provider of leadership development and productivity services and products. He is the author of *The 7 Habits of Highly Effective People* (Simon & Schuster, 1989) and *First Things First* (Simon & Schuster, 1994).

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William Oncken, Jr., was chairman of the William Oncken Corporation until his death in 1988. His son, William Oncken III, now heads the company. **Donald L. Wass** was president of the William Oncken Company of Texas when the article first appeared. He now heads the Dallas–Fort Worth region of The Executive Committee (TEC), an international organization for presidents and CEOs.

SCHOOL OF GOVERNMENT
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Fundamental Supervisory Practices

Day Eight

Checking Yourself

Fundamental Supervisory Practices
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Topics covered in today's session:

- Examine how assumptions and mental models influence your behavior and results and how these relate to your effectiveness as a supervisor.
- Introduce the Drama Triangle and learn to identify Drama Triangle roles.
- Practice applying effective communication strategies to remain out of the Drama Triangle and promote positive work relationships.
- Discuss the importance of "I -Messages" and when to use them.

The Drama Triangle

(based on work of Stephen B. Karpman)

Foundations of the Drama Triangle

- People carry out roles that have become necessary to affirm how they feel about themselves and others.
- When the feelings toward self and others are based on discounts, that person must assume a consistent view to make the outcomes of his/her relationship predictable.

The Roles in the Drama Triangle

Persecutor

- Criticizes others without understanding the reasons behind other's actions
- Assumes a negative intent when one is not present
- Usually gives judgmental and non-specific criticism
- Often uses sarcasm to make a point
- Examples of Persecutor Behavior:
  - A manager does not ask staff for their input because "they never have anything useful to say."
  - Personalizing criticism: i.e., using terms like "bad attitude", "unprofessional", "paranoid", "stupid"
  - Over-generalizing criticism: i.e., "you never" or "you always".

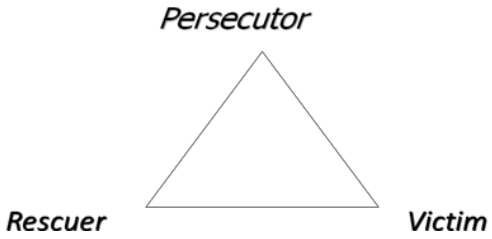
Victim

- Role assumed when a person discounts his/her ability and relies on someone else to "take care of them"
- Allows criticism that may not be warranted; affirms low self-esteem.
- Places responsibility for success or failure on someone else rather than solving own problems when they have ability to solve problems
- Examples of Victim Behavior:
  - Failing to confront another person whose behavior is creating problems.
  - Blindly blaming one's self when things do not work out as expected.
  - Discounting one's own ability to succeed.

Rescuer

- Role assumed when one discounts another's ability to handle their own problems or takes responsibility for doing for another when that person has ability to solve own problems
- Affirms own ego need to help others
- Keeps others dependent to meet own needs
- Assumes higher, righteous purpose for actions
- Examples of Rescuer Behavior:
  - Giving suggestions without inquiring about other's ideas.
  - Negotiating compromises between Persecutors and Victims.

Implications of the Drama Triangle



A. The Drama Triangle acts like a magnet; when one person enters the Triangle, others tend to join in dysfunctional behavior. For example, if a colleague complains about all the work she has to do (Victim behavior), we tend to agree by comparing how busy we are (Victim behavior) or giving her suggestions on how to deal with her workload.

B. In top-down authority structures, supervisors and managers are often expected to take on dysfunctional roles: particularly Persecutor and Rescuer.

C. People work most effectively together when they take responsibility for their own behavior and problems.

D. Our expectations of others are usually met. Playing the Drama Triangle is self-sealing and self-fulfilling.

E. Every Victim plays a part in his/her own victimization.

F. Every Rescuer/Victim transaction ultimately turns into a Persecutor/Victim transaction.

G. Playing the Triangle can have the following effects:
   - Causes miscommunication
   - Deters effective problem solving
   - Impedes commitment and performance
   - Lessens accountability
   - Creates organizational defensive routines
   - Discourages responsibility-taking

H. You must see yourself in the Triangle in order to stay out of it! Recognize what governing values you are operating from and make the choice to step out of the Triangle.

I. Recognize that problems usually stem from multiple people playing roles in the Triangle.

The Self-fulfilling role of the Persecutor

GOVERNING VALUES	BEHAVIORS/COMMUNICATION STYLE	CONSEQUENCES
Others are not as competent, as trustworthy, or as motivated as I am. The actions of most people are driven by negative intent.	▪ Giving judgmental and non-specific criticism. ▪ Not asking stakeholders for their input because, "They never have anything useful to contribute". ▪ Personalizing criticism, i.e., using terms like "bad attitude", "unprofessional", or "paranoid". ▪ Over-generalizing criticism; i.e., "You never" or or "You always". ▪ Warning or threatening others (often in anger) without first giving them an opportunity to discuss the problem. ▪ Giving directives and orders in non-emergencies. ▪ Micro-managing and usurping the chain of command. ▪ Focusing on failures and violations rather than successes. ▪ Setting up problem solving as "win-lose" struggles that must be won.	• Others become submissive and defensive • Others avoid dealing with the Persecutor • Others defer decisions to the Persecutor • Others feel demoralized, lack self esteem, and confidence • Limits discussable options • Others avoid taking responsibility for fear of being blamed and demeaned

Examples

A supervisor gives an assignment to an employee knowing that he likely does not have the skills and knowledge to do the work, and then criticizes the employee for unacceptable work.

An employee is seen by the supervisor doing something the supervisor deems as inappropriate but is not against the rules. The supervisor verbally criticizes the employee and threatens to tell the department head about the behavior.

A supervisor returns a report to a subordinate and tells her that it is unacceptable, to redo it. The subordinate redoes the report to the best of her ability and the supervisor tells her that the report is still unacceptable and that he will get someone else to do it.

A person asks his companion to give him feedback as to how well his presentation had gone at the staff meeting they just attended. The companion gave the person specific feedback about his presentation that included both positive and negative items. The person got angry and told his companion he was just jealous and if he didn't have anything good to say he could just shut up.

A wife asks her husband to do some laundry while she is out shopping. While his wife is gone, the husband washes two loads of clothes and dries one load. She returns and unloads the dryer and finds that he has put a couple of cotton things in the dryer which have shrunk. She tells her husband that he has ruined some clothes. She continues by saying that she asked him for a little help and all he did was mess things up. She says she doesn't want him touching the clothes again.

The Self-fulfilling role of the Rescuer

GOVERNING VALUES	BEHAVIORS/COMMUNICATION STYLE	CONSEQUENCES
Others cannot solve problems without my help; it is my duty to solve problems for others. I can make you better and happier because I can solve your problems better than you. "Selfless service"	▪ Solving problems for others. ▪ Giving suggestions without inquiring about the other person's reasoning ▪ Negotiating compromises between Persecutors and Victims. ▪ Giving advice without being asked for help. ▪ Failing to delegate	• Others become dependent on the Rescuer (play the Victim role) • Others avoid taking responsibility, deferring instead to the Rescuer • The Victim blames (Persecutes) the Rescuer when the solution does not work effectively • The Rescuer feels resentful and unappreciated

Examples

A 12-year old child complained to his mother that the grade he received was unfair. He would not take his complaint to the teacher, so the mother goes to the teacher and complains about the grade.

A counselor arranges transportation for a client who has been late for appointments because the client "couldn't find a regular ride and there are no buses in the area".

You loan a friend $200 to pay off a bill that is overdue. The friend has a decent job and obviously leads "the good life". You loan her the money out of your savings account and the friend promises to pay you the first chance she gets.

An employee comes to you and asks for help with a work task. You respond by saying "I've done this many times before, it's easy for me to do it. I'll help you out and do it for you."

A teacher comes to her principal and complains that one of her students is disrupting her class and she can't deal with him. The principal, knowing this student's reputation from other classes, tells the teacher she will talk to the student again, set some limits, and suspend him if he doesn't turn it around.

The Self-fulfilling role of the Victim

GOVERNING VALUES	ACTION STRATEGIES	CONSEQUENCES
Others are responsible for my situation. Due to factors such as risk, lack of authority, or inability, I cannot solve problems.	▪ Failing to confront another person whose behavior is creating problems. ▪ Blindly blaming one's self when things do not work out as expected. ▪ Blaming others for one's own failures. ▪ Not trying to accomplish things on the assumption that the effort will result in failure. ▪ Abdicating responsibility, for example, telling a staff member to "handle a problem" without discussing how he or she proposes to deal with the problem. ▪ Acting helpless, for example, whining or complaining about "what they are doing to me" or responds to suggestions by saying "Yes, but…"	• Others observe that you act incompetent and inadequate • You avoid risks • Others observe that you defer to them rather than taking responsibility • Others observe that you refuse to take responsibility or that you hold yourself totally responsible when others share in that responsibility

Examples

You find yourself overwhelmed with work and take on an important new task assigned you by your supervisor even though you know you will have to work evenings and weekends to finish it.

A man has been married just a short time and finds himself deeply in debt because he and his new wife took a long, expensive honeymoon which his wife wanted. Then he rented an apartment that requires him to pay considerably more rent than he can afford because she says she would not be comfortable in anything less.

An employee comes to you complaining of the fact that he has a lot of distractions at home and cannot do all the work assigned to him. You agree to do the work until his home life straightens out.

Your supervisor hands you a report that you had turned in previously and tells you it is badly written and needs to be improved. You accept the report without knowing what is wrong with it.

You go to your fellow worker and share with him a personal problem which could destroy your marriage. He gives you advice to keep your mouth shut about things and let the situation blow over. You follow his advice even though you are not confident that it is the best thing to do. Four days later you come home from work and your spouse has left a note telling you she wants a divorce and she has gone to Florida with a friend (and much of your money).

BEING HELPFUL and AVOIDING THE RESCUE TRIANGLE
TIPS FOR SUPERVISORS

Being helpful is the process of influencing others in a fashion that leads them to use their own ability, skill, or knowledge to solve their problems. Help also may be defined as providing an individual with needed resources when the individual is unable to achieve these needed resources because of insurmountable limitations.

The fundamental principle in helping is making it possible for the person in need, whether he or she be client, friend, child, student, employee, co-worker or patient, to achieve what is necessary to solve their problem in a way that does not diminish them. For those in the role of providing help, the following conditions seem consistent with avoiding the roles described by the Rescue Triangle:

1. The supervisor must be confident in his or her ability and aware of his or her areas of sensitivity. Being in a helping position to enhance one's self esteem or sense of worth makes a person vulnerable to the rescuer, persecutor, or victim role. Effective helpers feel competent in their skills and are motivated to foster competence in others.

2. Expect the best from your employees. This does not mean that you must have unrealistic expectations about how well things are going to go, but it does mean that you expect your employees to have the ability, *should they choose*, to deal with their own problems. Research studies have proven that the self-fulfilling prophecy is true--we often get what we expect, good or bad.

3. The supervisor must be congruent. There must be consistency in what one says and does. This means that the supervisor must act in accordance with his or her espoused beliefs, values and principles. Being congruent is essential if you are to be credible and develop authentic, non-role relationships.

4. Clarification of consequences and imposition of consequences when the employee's behavior warrants it are essential to reinforce the belief that the employee must be responsible for his or her behavior. The consequences should be known beforehand and be reasonable for the situation.

5. Accept no excuses for failure; rather, focus on evaluating what happened and explore with the employee what could have been done differently to be successful. Accepting excuses for failure, no matter how well articulated or persuasive the excuse may be, discounts the employee's ability to act more responsibly.

6. Do not do things you feel pressured to do for employees that they can do for themselves. (For example, you do something for the employee because you feel if you don't take action the employee will fail.) Ask yourself if you have done all you can to enable the employee to take appropriate action.

7. When an employee fails to carry out their responsibilities you should confront the failure without feeling they have let you down. Only the employee is responsible for the actual behavior and is the victim of their own doing. You should not contribute to the victim role by angry recriminations (Persecution) or feeling sorry for the employee.

8. Support any effort on the employee's part to be more responsible and effective. Appreciate the difficulty of change and the scary feelings often associated with change. For some, simple achievements such as taking full responsibility for a task or project represent a major effort to overcome self-doubt.

9. Verbally and emotionally support any effort on the employee's part to take responsible action if the employee has the necessary skill, knowledge, and understanding to take the action in the first place.

Given the suggestions above, the following actions are considered helpful if done in the proper context:

1. Sharing relevant information.

2. Helping employee develop alternative actions to solve a problem.

3. Helping employee explore the consequences of possible actions.

4. Supporting responsible employee choices even though the choices might not be choices you would make.

5. Open sharing of thoughts and feelings regarding the employee. This includes giving the employee honest feedback regarding his or her behavior.

6. Giving the employee encouragement and support to try new behaviors.

7. Modeling responsible behavior, positive expectations, and honesty.

Actions that diminish strength of employees:

1. Doing things for the employees they can do for themselves.

2. Doing things for the employee because the employee does not know how to do something. Instead, train the employee or provide other resources to help the employee learn how to do it by themselves.

3. Being critical of a person's failure rather than helping him or her analyze the failure and identify ways he or she can be more successful the next time.

4. Giving advice or telling the employee what to do (as opposed to sharing information and helping the employee to define alternative courses of action).

5. Giving employee instructions to do something he or she does not have the skills, experience, or knowledge to accomplish or failing to help the employee evaluate his or her preparedness to take an action or complete a task.

6. Providing employees information they should have acquired themselves because it is easier to do it that way.

Staying out of the Drama Triangle

Directions: *Identify the Drama Triangle role the speaker is taking for each statement below.* ***Write out exactly what you would say*** *in response to the statement in order to stay out of the Drama Triangle.*

1. Your subordinate says to you, "I am so tired of writing reports; that's all I ever do. What a bore this job is!"

2. Your employee tells you "you sure have an old -fashioned way of dealing with people and I think it puts people down!"

3. At one time your employee had been very dependable and hard working. Recently, his performance has been unsatisfactory. You set up a meeting to discuss his performance. He begins the meeting by saying, "these new employees working for me are a real pain. They don't know what they are doing. I know I could do a better job if we could just hire better employees."

4. At lunch, your employee says to you, "I just can't make ends meet in this job anymore. I just don't get paid enough in this job and think the workload is unrealistic."

5. Your subordinate, Ann, supervises Fred. Ann says, "Next week I will be conducting Fred's performance review. He has been here for three years and his performance has only gotten worse. He misses more and more work. What should I tell him?"

6. A citizen calls you to complain about one of your employees. The citizen says "I talked to Fred and he was extremely short and rude with me. He said that you are his boss but that you would give me the same non- answer Fred did! I am a taxpayer and deserve an answer!"

I-Messages
A useful tool for helping stay out of conflict

An "I-message" or "I-statement" allows you to take ownership for your feelings and beliefs and helps you communicate in a respectful manner that does not place blame on the other person.

I-messages are particularly useful when you are upset and want to express your feelings without escalating a conflict. They are also useful in giving performance feedback and work most effectively when paired with the skills of active listening and asking open-ended questions.

I statement vs. You Statement

Take for example the statement "you broke your promise." This implies blame and may often be met with a defensive reaction. A more effective I-message such as, "I felt let down when you did not ask for my opinion because you told me last week you would ask for my input on the next project."

I-messages are an effective tool for a supervisor to use when addressing performance or behavior that is not meeting standards. For example, "I am concerned that you have turned in your section of the monthly report late the last 3 months because it means that I am unable to complete the department's report on time" is a more effective statement than "Your reports have been late recently."

I- Message Phrasing

There are 3 types of information that should be included in the I-message when giving feedback:

1. A description of the behavior
2. The feeling (emotion) the behavior creates
3. The effect that behavior has

Sample phrasing:

I feel _____ *(name the feeling)* when_____ *(describe behavior*) because _____*(describe impact).*

Example 1: "I was disappointed when I learned that you shared my personal information with Sarah because I had confided in you and asked you to keep the information to yourself."

Example 2: "I am concerned that you have had 6 unplanned absences in the last two months. This means that other staff have to be called in to cover for you at the last minute."

AVOIDING THE TRIANGLE
CASE STUDIES

*Read the following situations and develop a response that avoids the roles of the triangle. Explain what you will do and **write out exactly what you will say** to begin addressing the issue.*

1. Glenda Grimes is a 56 year old employee who has always done acceptable work and is very reliable. She is a nervous person who is often tentative in relating to people. She has mostly worked by herself, but now has a new coworker. One day she approaches you and says that she is having a very difficult time getting along with the new girl in the office who is young, outgoing and pretty. Glenda says that the girl talks a lot and disturbs her concentration and often asks Glenda questions about her life which bothers her a great deal. She wants you to have a talk with the new girl and tell her not to ask such personal questions and talk less while she works.

2. Your administrative specialist had been complaining that she had too much work to do. Despite her complaints her work was uniformly of high quality. Consequently, you have made every effort to hold back work assignments and take on extra work yourself to ease her problem. During the last two weeks you have noticed that she now leaves on time every day, takes her full breaks and spends a considerable amount of time talking to people who come into the office and to people who call her on the phone. Now she no longer complains about the amount of work she has to do, continues to do very high quality work and takes initiative in handling office problems often anticipating the need to do something that you failed to do or had forgotten to do. You often leave work late in order to complete everything that needs to get done.

3. Jennifer Gilder is a new employee who came to your department with excellent credentials. She has two years' experience in her work and has a good educational background. Each time you give her an assignment, she asks questions about how to do the simple things that you believe she should know how to do. When she is working she asks that you check her work at frequent intervals so that she doesn't make a mistake. You hear from a few colleagues that she was an abused child and it is very likely that she lives with an abusive husband. She appears to feel inadequate and is very reluctant to say anything. She will do anything you ask her to do and normally she does a good job.

Performance Conversation Planning Worksheet

My goals for this performance conversation are:

Possible "triggers" to suck me into the Drama Triangle:
(Knowing this in advance can help you remember to take a pause, and breathe, before responding.)

"IDEAL Performance Conversation Steps"

1. Identify what happened to cause the meeting and check for agreement. • Write out your opening statement to specifically describe the behavior that caused the conversation. .
2. Describe the impact of the problem and listen to the employee's perspective. • Write out an "I message" to explain how the behavior affects productivity, customer service, work group relationships, etc. and describe the performance standard that is not being met. • What active listening skills will you use to respond to the employee?
3. Explore possible solutions to the problem and listen to employee concerns and ideas.
4. Agree on a plan of action to improve performance including a time to follow-up.
5. Learn from the Performance Discussion

SCHOOL OF GOVERNMENT
Center for Public Leadership and Governance

Fundamental Supervisory Practices

Assignments

Day Eight

Fundamental Supervisory Practices
Days 6-8 Reflection Questions

1. What specific actions do you plan to take to foster an environment where all feel included and valued?

2. What are you learning about your preferred role in the drama triangle?

3. What triggers can pull you into the Drama Triangle?

4. What strategies will you use to get out of the Drama Triangle?

5. What have you learned in the last few sessions that you think can enhance your effectiveness as a supervisor?

6. What kind of support/resources/reminders will help you transfer these new skills back to the job?

Performance Conversation Planning Worksheet

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SCHOOL OF GOVERNMENT
Center for Public Leadership and Governance

Fundamental Supervisory Practices

Day Nine
Feedback & Coaching

COACHING FEEDBACK GUIDELINES

A number of guidelines can help make the giving and receiving of feedback effective. Feedback is usually more successful when these guidelines are followed. However, these are guidelines, not rules. There may be exceptions to each one. Don't think of these guidelines as the only way to do it. Think of whether the "usual" guidelines apply in each individual case.

In order for feedback to be effective, the feedback must meet three criteria.

1. The employee must understand what the supervisor is telling him or her.
2. The employee must be willing and able to accept what is being said.
3. The employee must be able to do something about the feedback if he or she chooses.

Following are some guidelines the supervisor can use to help make his or her feedback to the employee more effective:

1. Readiness of the receiver: Give the feedback when there are indications the receiver is ready for the feedback. One way to be sure the receiver is ready is to ask.

2. Focus feedback on behavior rather than the person. It is important that the supervisor discuss what the employee *does* rather than comment on what the employee *is.* For example, the supervisor would say, "the employee talked for 45 minutes in the meeting," rather than saying "the employee is a loud mouth."

3. Focus feedback on observations rather than opinions. Observations refer to what the supervisor can see or hear in the behavior of the employee while opinions refer to interpretations and conclusions made from what is seen or heard. This is the same as saying focus on observable behavior rather than assumptions or inferences about that behavior. In a sense, opinions or conclusions about an employee contaminate the supervisor's observations, thus clouding the feedback. When the supervisor offers his or her opinion, and it may be valuable to do this sometimes, it is important that it be identified as opinion, and check for agreement or disagreement from the employee.

4. Focus feedback on description rather than judgment. The effort to describe represents a process of reporting what occurred while judgment refers to an evaluation in terms of good or bad, right or wrong, nice or not nice. Judgment arises out of a frame of reference or value system whereas descriptions represent neutral reporting. When the supervisor finds it necessary to give feedback based on judgment, he or she should be careful to use the organization's value system and not his or her own personal value system.

5. Focus feedback on very specific behavior and a specific situation. Rather than "you tend to procrastinate too much: a statement that is specific is more meaningful and effective. An example of specific is, "I was late turning in my monthly report because I did not receive the monthly contact data from you until after lunch." Give examples of behavior to support the feedback.

6. Focus feedback on the value it may have to the employee and/or organization, not the value of “release” it provides to the supervisor giving the feedback. The feedback provided should serve the needs of the employee getting the feedback rather than the needs of the supervisor to “punish” the employee. Feedback should be given and heard as a way of being helpful, not demeaning.

7. Focus feedback on the amount of information that can be helpful at any given time. Do not overpower the employee with too much information at any one time.

8. Focus feedback on the appropriate time. The closer the feedback is given to the time the event took place, the better. When feedback is not given immediately, the receiver is not able to be clear on exactly what is meant. The feelings associated with the event still exist so that this, too, can be part of understanding what the feedback means. Excellent feedback presented at an inappropriate time may do more harm than good.

9. Feedback is not a demand for change. Each employee makes his or her own decisions and feedback that is presented in a clear and objective manner is most helpful. The feedback should identify the behavior and identify any negative consequences of the behavior, recognizing that the employee may choose the negative consequences over changing the behavior. It is important to always recognize that the choice on making a change in behavior rests with the employee. The supervisor cannot force change.

10. Make sure feedback is given in a two-way conversation where the supervisor inquires with the employee on his or her understanding of the feedback, his/her reactions to the feedback, etc.

11. Focus feedback on how it impacts the organization/job/coworkers/ customer, not on the supervisor’s demands or needs. “The organization needs you to ...” not “I need you to…”

Criteria for Deciding Whether or Not to Give Negative Feedback

1. How important is the problem to the organization?

2. How long has the problem existed (has it been confronted previously)? Is the problem having an impact on the work environment; on your relationship to the person; on the person's relationship to others?

3. What will happen if the problem is not solved?

4. What is the likelihood that the problem will go away on its own?

Preparing to Give Feedback

Once you have decided to give the feedback and have a clear intent to make this a helpful interaction, the following actions may be helpful:

1. Frame your statement using the guidelines for giving feedback.

2. Choose an appropriate time and a location conducive to quiet uninterrupted talk.

3. Let the person know why you felt it was important to share the feedback and your concerns about what might have happened if you did not give the feedback.

4. In feedback situations where there are direct consequences for continuing the behavior that is the focus of the feedback, the giver of feedback needs to make clear what the consequences will be should the receiver's behavior not change. In this instance, the receiver can choose to make a change, can explore other options, or can choose to accept the consequences of not making the behavioral change. It is especially important in this instance to insure balanced two-way discussion so that each party fully understands the interests and issues of the other party.

Coaching for Improved Performance
Conversation Model

Pre-Discussion Steps:

1. Gain agreement to discuss the issue and set a meeting time.
2. Prepare for the discussion:
    - Review previous coaching sessions (if any) and identify specific points for discussion.
    - Write down specific words or phrases you will use to open the meeting and to describe the issue in a way that shows consideration and mutual respect.

"IDEAL Performance Conversation Steps"

1. Identify what happened to cause the meeting and check for agreement.
- Describe the specific behavior/actions that have caused the problem.
- Check out inferences to gain agreement on the problem.

2. Describe the impact of the problem and listen to the employee's perspective.
- Use "I messages" to explain how the behavior affects productivity, customer service, work group relationships, etc. Describe the performance standard that is not being met.
- Use active listening skills and ask open-ended questions to gain understanding from the employee's perspective.

3. Explore possible solutions to the problem and listen to employee concerns and ideas.
- Ask the employee for his or her ideas for correcting the problem.
- LISTEN to all ideas without judgment (Ask questions to clarify ideas if needed.)
- Offer your suggestions only after the employee has exhausted all of his/her ideas.

4. Agree on a plan of action to improve performance including a time to follow-up.
- Review what acceptable performance looks like and evaluate possible solutions based on what will be most effective.
- Agree on a solution including specific milestones for improvement and use the employee's ideas whenever possible.
- Tell the employee in a non-threatening manner the possible consequences for failing to fix the problem.
- Set a date and time for a follow-up meeting to review the effectiveness of the solution.
- Document the decisions made in the meeting and provide employee with appropriate documentation of the meeting. *(This may be a simple email summary of the meeting and actions agreed to. If a formal written warning or disciplinary action is required, follow your organization's policies on documentation requirements.)*

5. Learn from the Performance Discussion
- At the conclusion of the meeting, ask for specific ideas of how you can help support the employee to be successful and express your confidence in the employee.
- Following the meeting, reflect on what went well, and what you might do differently in a future discussion.

Coaching Skill Practice

(Everyone May Read)

1. Janice is a Payroll Technician and you supervise her. She basically enters time sheets, prepares payroll reports, prepares insurance bills, and writes checks for payroll vendors such as credit union, garnishments, retirement, etc. Janice has been late three Mondays in a row and called in sick the other two. She has been employed for two years and her performance is acceptable but not a lot more. In her first six months, she went through a separation and then later a divorce. She needed time off during this time for legal appointments and to work out child care issues. You extended her probationary period by three months, and during this time her attendance was fine and her performance acceptable. You are concerned that her attendance is deteriorating again. You have scheduled a time to talk with her.

2. Jim is a Street Maintenance Worker. He does a good job on everything except getting along with coworkers. There have been two incidents in the last two weeks where he got in an argument with crew members. In one case, Bill accidently backed into him and he lit into him, cussing and telling him he needed to go to kindergarten to learn how to drive. On another occasion, he jerked the rake out of Sam's hand to show him how to rake the asphalt better. Sam has been on the job only two months and you can tell he has been avoiding Jim ever since. Jim's actions have led to tension in the crew and people giving him wide berth. The sense of energy and joking that normally goes on among crew members has been muted. The crew is normally very productive even though they have fun at the same time. You need to get things back on an even keel and are planning to talk to Jim.

3. You are going to be talking to a Fire Engineer named Allen who has worked for the Town for four years. For the most part, he does a good job. However, you have received complaints from several employees regarding his sloppy housekeeping. He doesn't clean up behind himself when he cooks or works on equipment and does an absolute minimum on the station cleaning required for everyone. Every now and then he makes snide remarks about having to do station cleaning, but you personally went over this requirement with him when he was hired and he knew it went with the territory. You want him to start pulling his share of the station maintenance activities and don't want to hear any more complaints from others about him leaving messes.

Coaching Skill Practice
Role Player

(Supervisor does not read)

1. You are Janice and work as Payroll Technician. You have been employed for two years. In your first six months you went through a divorce and needed a lot of time away from work. Your supervisor worked with you and let you work longer on probation to prove that you could be a good employee. You appreciate this flexibility on your supervisor's part. The job is OK, but not really motivating or exciting. You basically enter time sheets, prepare payroll reports, prepare insurance bills, and write checks for payroll vendors such as credit union, garnishments, retirement, etc. And your two kids run you ragged on the weekends, making it really hard to get up on Mondays and go to work. You know you need this job, but it is becoming a real drag. You need something to get you more involved in the organization and with people, like helping employees when they have insurance claims problems, or setting up a new employee orientation program for new employees. These are programs that the Town could use, but no one has asked you to do them. Your supervisor is meeting with you today, and you suspect he/she is not happy with your attendance lately.

2. You are Jim and have worked as a Street Maintenance Worker for the Town for three years. You like your job, but get impatient with the inefficiency and clowning around that goes on. You take your job seriously and don't like to see people wasting time or messing up. The supervisor expects things to be done right, but does not seem to take the crew in hand and lets them get away with horse play and a lax work pace. Your impatience sometimes gets the best of you and you lose your cool. So far it hasn't created any problems, and may have actually helped keep people serious and focused on their work. Your supervisor wants to talk to you today, but you don't know what it is about.

3. You are a Fire Engineer named Allen and have worked for the Town for four years. You love the job and have always wanted to work in the fire service. You love the excitement of not knowing what to expect when the alarm goes off and the team work that allows the staff to work together like a well-oiled machine in emergencies and in training exercises. What you really hate is the custodial work you have to do. Fire Engineers are professionals. Other Town employees don't have to clean bathrooms, floors, etc. Why should you have to do it. It really gets under your skin. You know sometimes you don't really pull your weight on this, but you try to make up for it with cooking (which you love), working on the equipment, and other tasks. On a couple of occasions, coworkers have made a snide comment to you, but for the most part, they don't seem to mind the housework and you have a better use for your time.

Observer Checklist and Feedback Format

Directions: The purpose of the skill practice is to practice using the skills learned in class and receive feedback. The observer should take notes during the role play and use this checklist to watch for the use of these behaviors:

_____ Used an "I message" to explain performance concerns.

- Specifically described behavior causing a problem
- Explained impact behavior was having on others/organization

_____Used active listening skills such as being attentive, re-stating, clarifying, reflecting

_____Asked open-ended questions and probed for additional information

_____Asked for employee's ideas before suggesting solution

_____ Agreed on a plan (date/time) to follow-up

Observer Feedback Structure:

Following the role play, the observer and/or employee role player should provide feedback to the supervisor using the following feedback format. This structured feedback format also allows the observer to practice providing feedback.

I thought it was effective when you _____*(describe observed behavior)* because _____ *(describe reason/impact).*

It might have been even more effective if you had _____ *(specific action or skill you are suggesting)* because _____*(reason/impact).*

Feedback Example: I thought it was effective when you *asked the employee "Is there anything else you can think of that is important in this situation*" because *it gave the employee space to bring up some additional information about the possible cause of the problem.*

I think it might have been more effective if you *had let the employee choose the solution, rather than telling him what he needed to do* because *it might have given him greater ownership in the solution.*