The New Jersey

cpm

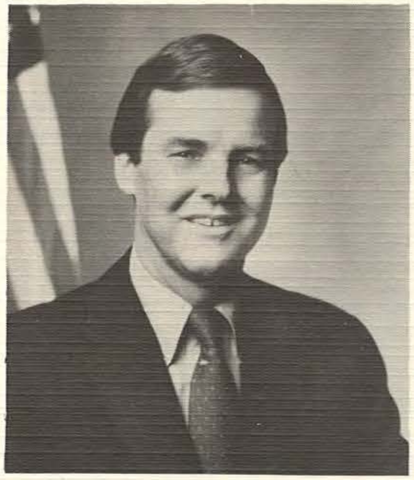
Certified Public Manager Program

1987 — 1988
New Jersey Department of Personnel
Rutgers University
Member National Certified Public Manager Consortium

The Certified Public Manager Program of New Jersey is sponsored and administered by the New Jersey Department of Personnel and Rutgers, the State University.

The New Jersey Program is an affiliate of the National Certified Public Manager (CPM) Consortium which presently consists of:

ALABAMA
ARIZONA
DELAWARE
FLORIDA
GEORGIA
KANSAS
KENTUCKY
LOUISIANA
NEW JERSEY
NORTH CAROLINA
OHIO
OKLAHOMA
PENNSYLVANIA
SOUTH CAROLINA
VERMONT

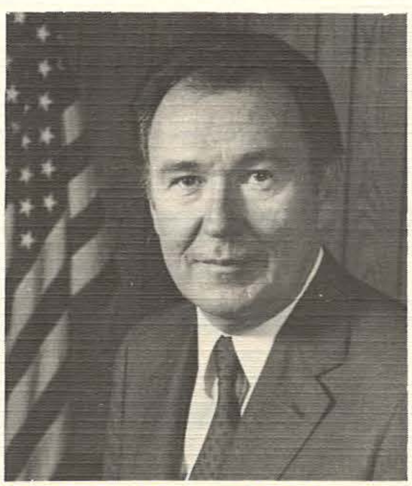


"The Certified Public Manager Program is unlike any training program ever conducted by state government. Its emphasis is on practical management tools, and it seeks to develop such skills through the case study method and other 'hands-on' techniques."

Governor Thomas H. Kean

"CPMP represents a substantial and significant partnership between the State of New Jersey and Rutgers, The State University of New Jersey. Educationally sound and well conceived, this effort epitomizes the ideal of excellence in the improvement of New Jersey's public sector management."

Edward J. Bloustein, President, Rutgers, The State University



"The CPM Program is an innovative education program ....imparting common sense knowledge of supervision and management."

Commissioner Eugene J. McCaffrey, Sr.

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DESCRIPTION AND NEED FOR PROGRAM

The New Jersey Certified Public Manager Program is a specialized training and management development program for the supervisors and managers of New Jersey government. The Program's purpose is to provide practical "hands-on" training for those levels of employees, supervisors, and managers, whose actions impact upon the delivery of services and the smooth operation of New Jersey government at both the State and local levels.

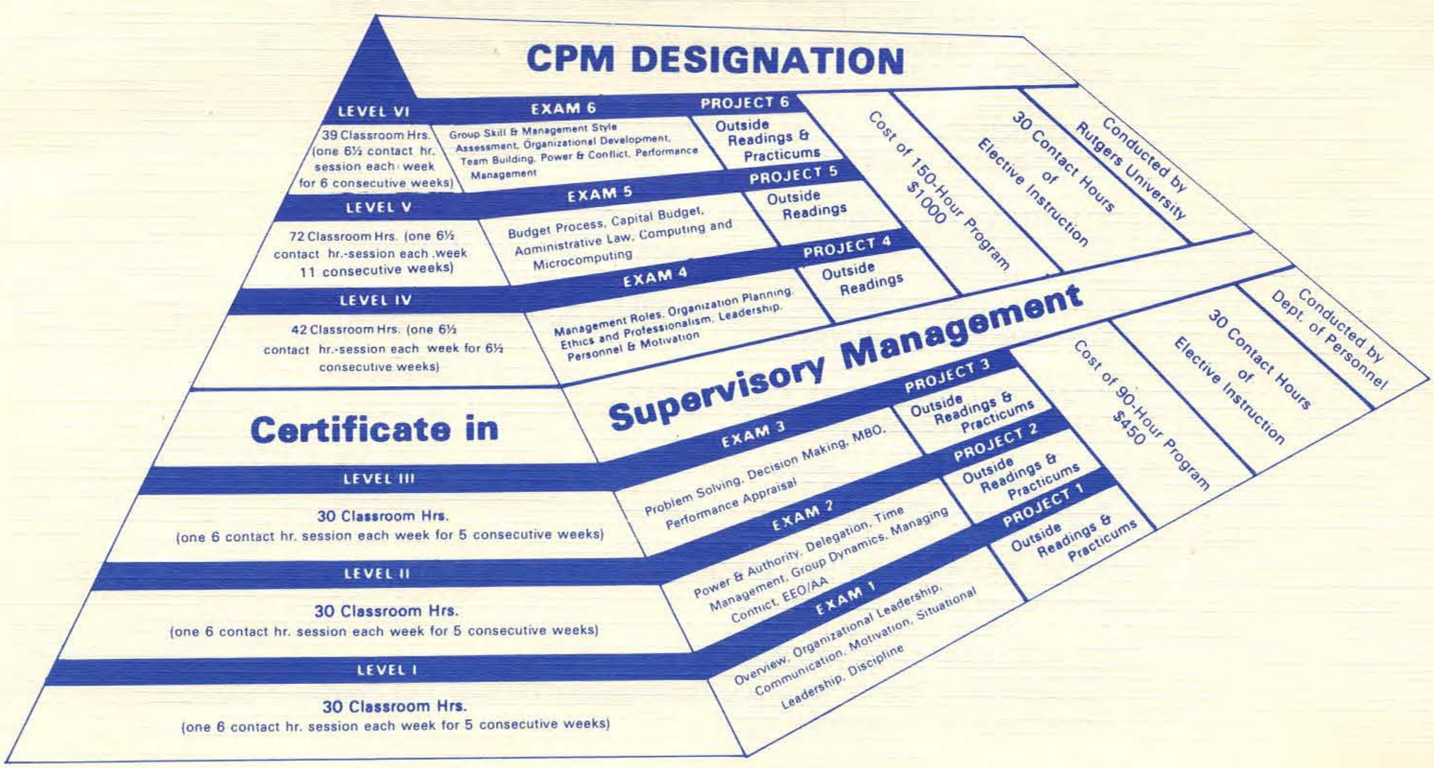
Governor Thomas H. Kean implemented the Program through the issuance of Executive Order 28 on January 13, 1983. Governor Kean feels strongly that well-trained supervisors and managers are essential to increased productivity and improved professionalism in State government.

With the inception of the Program, New Jersey has joined 14 other states involved in the structured improvement of governmental managers.

The New Jersey Department of Personnel and Rutgers University conduct the Program. Often compared to the Certified Public Accountant designation, CPM is a professional rather than an academic credential. Supervisors and managers who enroll in the Program are expected to attend classes, practice sessions and elective courses. Examinations, outside-of-class readings, and job-related projects are also required.

The content and training methods used in this Program emphasize programmatic management tools and skills. For administrative purposes, the Program is divided into six levels. The Department of Personnel conducts the first three levels which involve a total of 90 contact hours for both supervisors and managers in the basic practical techniques and applications of supervision. Rutgers University conducts the remaining three levels which involve 150 contact hours in advanced subject areas and are primarily for managers pursuing the Certified Public Manager designation.

Following is a graphic illustration of the Program.



Each of Levels I, II, and III consists of 30 contact hours. Level IV is 42 hours, Level V is 72 hours and Level VI is 39 classroom hours.

Successful completion of Levels I, II, and III, 30 hours of elective instruction, three practicum assignments, three outside-of-class projects, and a passing grade on three examinations will lead to a Certificate in Supervisory Management. Successful completion of Levels IV, V, and VI, 30 additional hours of elective instruction, three additional outside-of-class projects, a passing grade on three examinations and a Certificate in Supervisory Management (CSM) will lead to the Certified Public Manager designation.

ADMINISTRATION OF PROGRAM

Rutgers University and the New Jersey Department of Personnel jointly administer the Program. Eugene J. McCaffrey, Sr., Commissioner for the New Jersey Department of Personnel, is the Chief Administrator of the Program. A Policy Board has been appointed to give advice on matters of policy. A Curriculum and Operations Committee has been appointed to review and suggest changes or additions to CPM curriculum or operations. Members of the Policy Board and the Curriculum and Operations Committee are drawn from State government, academia, and the private sector. These two groups meet as needed and are convened by the Commissioner. Day-to-day operation of the Program is handled by designated Program managers.

POLICY BOARD

COMMISSIONER DREW ALTMAN
Department of Human Services

COMMISSIONER LEONARD S. COLEMAN, JR.
Department of Community Affairs

MR. JOHN M. COONEY
Executive Assistant to the President for Community Affairs,
Rutgers University

COMMISSIONER MOLLY J. COYE
Department of Health

COMMISSIONER RICHARD T. DEWLING
Department of Environmental Protection

COMMISSIONER HAZEL FRANK GLUCK
Department of Transportation

COMMISSIONER MARY LITTLE PARELL
Department of Banking

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Professor of Sociology, Rutgers University

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Administrator, Human Resource Development/Training and Employee Services,
Department of Personnel

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Vice President, Prudential Insurance Company

CURRICULUM AND OPERATIONS COMMITTEE

DR. JANE HANNAWAY
Professor, Public and International Affairs,
Woodrow Wilson School, Princeton University

ALMA M. JOSEPH
Manager, Human Resource Development/Training and Employee Services
Department of Personnel

DR. ELEANOR V. LAUDICINA
Professor, Political Science, Kean College

DANIEL E. PETCHEL
State Employees' Development and Training Council

DR. JAY A SIGLER
Professor, Department of Political Science,
Camden Campus, Rutgers University

MICHAEL TUOSTO
General Manager Personnel and EEO,
Public Service Electric and Gas Company

PROGRAM ADMINISTRATION

EUGENE J. McCAFFREY, Sr.
Chief Administrator of CPM Program

WILLIAM G. SCHEUER
Program Director

DR. RAPHAEL CAPRIO
Associate Director, Rutgers University

ALMA M. JOSEPH
Associate Director, Department of Personnel

PATRICIA A. WINCEK
Program Registrar

ELIGIBILITY AND APPLICATION PROCEDURES

The intent of the Program is to give practical training to supervisors and managers. All employees whose primary responsibility is to supervise the work of others should attend Levels I, II, and III and complete the requirements for a Certificate in Supervisory Management. Furthermore, Levels IV, V, and VI and the Certified Public Manager designation are suggested foremost for those employees who are responsible for a major program, function, agency, etc. Agencies are also encouraged to select and nominate non-supervisory or management employees who provide high-level technical or professional expertise. The Program is open to New Jersey State, county and local government employees. All nominations for admission are to be made by the chief executive officer or designee. Application forms are available from:

N.J. DEPARTMENT OF PERSONNEL
Certified Public Manager Program
Princeton Forrestal Center
Arbor 600 - First Floor
600 College Road East
Princeton, NJ 08540

(609) 987-6329

COST OF PROGRAM

The fee for Levels I, II, and III is a total of $450 per person. The agency sending the employee will be billed and held accountable for the entire amount after the first day of class. The fee for Levels IV, V, and VI will be $1000. In all cases, students from State government must pay 25% of the fee for Levels IV, V, and VI. Local jurisdictions, or other agencies sending employees, may also wish to require this show of employee commitment. We cannot guarantee these tuition costs beyond July 1, 1988.

ATTENDANCE

Regular attendance is required and recorded. Students must attend a minimum of 4 out of 5 classes for each of the first three levels, in order to be eligible for a Certificate in Supervisory Management. In order to receive the Certified Public Manager designation, students must attend 5 classes out of 6½ for Level IV, 10 out of 11 classes for Level V, and 5 out of 6 classes for Level VI. Absences beyond these must be made up before successful completion of the Program.

INCLEMENT WEATHER POLICY

CPM classes will only be cancelled due to inclement weather if the Governor closes all State offices. The following radio stations have agreed to broadcast this information.

WHWH 1350 AM/WPST 97.5 FM PRINCETON/TRENTON
WMTR 1250 AM/WDHA 105.5 FM MORRISTOWN
WHN 1450 AM/WFPG 97 FM ATLANTIC CITY
KYW 1060 AM PHILADELPHIA
WJLK 1310 AM/94.3 FM ASBURY PARK
WCTC 1450 AM NEW BRUNSWICK

On occasion, classes conducted at facilities other than State offices may be cancelled if the individual site is closed. Participants should report to their work site and call the main CPM Program office (609) 987-6329 for a make-up class date.

COURSE OUTLINE

The Certified Public Manager Program is designed to give a supervisor or manager, at any level in an organization, the basic skills necessary to perform well in an ever-changing environment. The Program does not pretend to produce a "finished product." There is no closure to the Program; it is a well-founded framework upon which the open-minded and serious supervisory or managerial practitioner can continue to build upon throughout their career. It is planned that as government needs change, so too will the Program.

The areas covered in the basic Program were deliberately limited to allow time to comprehensively treat that material considered essential. The classroom sessions are heavily supported by practice exercises in the application of the concepts. The desired outcome is to not only impart information, but to allow for the practical application of the theories through outside readings, relevant case studies, and projects. Supervisors will complete the Program after a substantial amount of "hands-on" practice which is necessary to apply the theory.

Classroom instruction and outside readings will not be dogmatic but will seek to give opposing viewpoints from experts in the various fields. Supervisors will be encouraged to adopt and implement methods which work for them in their specialized situations.

The following outline illustrates the broad areas which will be covered in the Certified Public Manager Program.

CERTIFIED PUBLIC MANAGER PROGRAM MODULES

LEVEL I — LEADING AND DIRECTING
(5 Six contact-hour sessions - 30 hours)

MODULE 1	Introduction to the Program Organizational Leadership
MODULE 2	The Role of Listening in Communication
MODULE 3	Motivational Theory
MODULE 4	Situational Leadership
MODULE 5	Positive Discipline Review of Level I Topics Written Examination

LEVEL II — ORGANIZING
(5 Six contact-hour sessions - 30 hours)

MODULE 6	Power and Authority
MODULE 7	Delegation Time Management
MODULE 8	Group Dynamics
MODULE 9	Managing Conflict
MODULE 10	Equal Employment Opportunity/Affirmative Action Review of Level II Topics Written Examination

LEVEL III — PLANNING
(5 Six contact-hour sessions - 30 hours)

MODULE 11	Management By Objectives
MODULE 12	Performance Appraisal I
MODULE 13	Performance Appraisal II
MODULE 14	Problem Solving The Components of a Problem Problem Solving Model
MODULE 15	Decision Making The Nature of the Decision-Making Process Decision-Making Model Review of Level III Topics Written Examination

LEVEL IV — MANAGEMENT FUNCTIONS IN STATE GOVERNMENT
(6½ Six and one-half contact hour sessions - 42 hours)

ORIENTATION	Rutgers and the CPM Program Administrative Matters
MODULE 1	The Role of Management in Government Administrative Theory The Nature of Managerial Work
MODULE 2	Organizational Systems and Structures Organizational Design
MODULE 3	Personnel and Motivation Ethics and Professionalism Public Personnel and the Problems of Motivation

MODULE 4	Leadership and Management Managerial Decision-Making Styles Decision-Making Structures Decision-Making Theory
MODULE 5	The Management Budget Process Evolution of the Budget Process
MODULE 6	Budget Development and Planning Strategic Planning in Government Market Strategies
	Written Examination

LEVEL V — MANAGERIAL TOOLS FOR TODAY'S EXECUTIVE

(11 Six and one-half contact-hour sessions - 72 hours)

MODULE 7 & 8	Administrative Law
MODULE 9 & 10	Capital Budgeting
MODULE 11 & 12	The New Jersey Budget Process
MODULE 13 - 17	Computing and Microcomputing
	Written Examination

LEVEL VI — ORGANIZATIONAL AND HUMAN RESOURCES DEVELOPMENT

(6 Six and one-half contact-hour sessions - 39 hours)

MODULE 18	Group Skill Assessment
MODULE 19	Management Style Assessment
MODULE 20	Introduction to Organizational Development
MODULE 21	Team Building
MODULE 22	Power and Conflict
MODULE 23	Performance Management
	Written Examination

The Department of Personnel and Rutgers University reserve the right to make any changes in Program content or order of presentation deemed necessary for Program effectiveness.

CLASS SCHEDULES

Following are the anticipated starting dates and group locations for September, 1987 through June, 1988 for Level I. Classes ordinarily meet one day a week for five weeks with a break between the levels. This break provides the student with ample time to complete required projects. Once an applicant has been scheduled in the Program, they will receive a class schedule which indicates the meeting times, dates, and location.

Group Number	Location Zone*	Day / Dates	
200	A	M	9-14-87 thru 5-9-88
201	A	W	9-16-87 thru 5-11-88
202	A	Th	9-17-87 thru 5-12-88
203	A	T	9-15-87 thru 4-12-88
204	A	Th	9-17-87 thru 4-14-88
205	C	M	9-14-87 thru 5-9-88
206	C	W	9-16-87 thru 5-11-88
207	F	T	9-22-87 thru 5-10-88
208	G	W	9-23-87 thru 5-11-88
209	A	M	9-21-87 thru 5-16-88
210	A	W	9-23-87 thru 5-18-88
211	A	Th	9-24-87 thru 5-19-88
212	A	M	9-21-87 thru 5-16-88
213	A	W	9-23-87 thru 5-18-88
214	D	T	9-22-87 thru 5-17-88
215	A	M	11-2-87 thru 6-20-88
216	E	W	11-4-87 thru 6-22-88
217	A	M	10-19-87 thru 5-23-88
218	A	T	10-20-87 thru 5-24-88

Group Number	Location Zone*	Day / Dates	
219	A	Th	10-22-87 thru 5-26-88
220	C	M	11-2-87 thru 6-20-88
221	C	Th	11-5-87 thru 6-23-88
222	G	M	11-2-87 thru 6-20-88
223	F	W	11-4-87 thru 6-22-88
224	A	T	11-10-87 thru 6-28-88
225	A	W	11-12-87 thru 6-29-88
226	A	M	11-9-87 thru 6-27-88
227	A	T	11-10-87 thru 6-28-88
228	B	Th	11-12-87 thru 6-30-88
229	A	T	11-10-87 thru 6-28-88
230	A	Th	11-12-87 thru 6-30-88
231	C	M	11-9-87 thru 6-27-88
232	A	W	11-9-87 thru 6-29-88
233	D	W	11-12-87 thru 6-29-88
234	A/C	Th	11-10-87 thru 6-30-88

***Location Zones:**
- **A – Mercer**
- **B – Hunterdon, Warren**
- **C -- Bergen, Essex, Hudson, Morris, Passaic, Sussex, Union**
- **D – Middlesex, Monmouth, Somerset**
- **E – Burlington, Ocean**
- **F – Atlantic, Cape May, Cumberland**
- **G – Camden, Gloucester, Salem**

The Department of Personnel and Rutgers University reserve the right to make any changes in this schedule deemed necessary for Program effectiveness. Before attending any of these sessions, please verify their accuracy with the Registrar's Office (609) 987-6329.

INSTRUCTIONAL STAFF

STEPHEN ADUBATO

Currently pursuing his Ph.D. in Communications at Rutgers University, he received his M.A. from Eagleton Institute and B.A. from Montclair State College. Formerly New Jersey's youngest State Legislator, he is currently a Lecturer at Rutgers University, Newark. He joined the CPM Program staff in 1987 and is an instructor of Levels I-IV and Level V's Management and the Budget Process.

MARTIN BIERBAUM

Ph.D. in Urban Planning and Policy Development from Rutgers University; J.D. of Law from the Rutgers School of Law; M.A. in Political Science from the University of Michigan; studied at Harvard and transferred to Rutgers where he earned a B.A. in Political Science. He is currently an Assistant Professor of Urban Studies and Public Administration for Rutgers University, Newark, and is the instructor of the Administrative Law Section in Level V.

RICHARD BLAKE

Ph.D. in Social Welfare Administration and Social Policy Analysis, Rutgers University; M.S.W. in Social Welfare Administration, New York University; M.A. in Sociology focusing in group behavior in organizations, Jersey City State College; B.B.A. in Accounting and Business Administration, Pace University. He is currently an Assistant Professor at Rutgers University, Newark, and has been with the CPM Program since 1984 where he serves as Associate Director of Level IV as well as an instructor of Levels I-IV.

GARY BLANCHARD

M.P.A. in Management and Administration, Woodrow Wilson School, Princeton University; B.A. in Journalism and Political Science, University of North Carolina. After serving as a Management Trainer Representative from Organizational Dynamics Inc., he joined the CPM Program staff in 1983 and is currently an instructor of Levels I-IV.

ANGELA DEITCH

M.Ed. in Education and French, Rutgers University; B.A. in French, Douglas College. After serving as Director of Marketing Relations for PREP (manufacturer of assessment and skill training programs), a subsidiary of Educational Technologies, Inc., she joined the CPM Program staff in 1986 and is currently an instructor of Levels I-III.

RAYMOND EGATZ

M.A., Rutgers University; B.A., Fairfield University specializing in microcomputing and management. He is currently an Assistant Extension Specialist, Public Administration for Rutgers University, Newark and joined the CPM Program staff in 1983 as an instructor of the Microcomputing Section of Level V.

CHARLES FAY

Ph. D., University of Washington (Seattle) specializing in compensation and performance appraisal. He is currently an Assistant Professor, Industrial Relations/Human Resources for Rutgers University, New Brunswick, and an instructor of Level VI.

MARY ELIZABETH GHINI

M.A. in Education, Loyola University; B.A. in English, Catholic University of America. She is currently Training Director for Computertutors USA and joined the CPM Program staff in 1983 as an instructor of the Microcomputing Section of Level V.

JANET HANEY

M.Ed. in Urban Education, Trenton State College; B.A. in English, Georgian Court College. After serving as a trainer specializing in communications for the New Jersey Department of Personnel, she joined the CPM Program staff in 1987 as an instructor of Levels I-III.

TED HATRAK

Ed.D. in Administration, Columbia University; M.A. in Music Education, Columbia University; B.A. in Music Education, Trenton State College. He is currently Executive Director of Computertutors USA and joined the CPM Program staff in 1983 as an instructor of the Microcomputing Section of Level V.

ERNEST KOVACS, JR.

Ed.D. in Administration and Theory, Rutgers University; M.Ed. in Personnel, Pennsylvania State University; A.B. in Sociology from Rutgers University. After serving as Director of Community Development Services for Trenton State College, he joined the CPM Program staff in 1987 and is currently an instructor of Levels I-III.

PHILIP LEVINE

Ph.D. and M.A. in Economics, Columbia University; B.A. in Economics, City University of New York. He is currently an Assistant Professor of Finance at Rutgers University, Newark, and is the instructor of the Capital Budgeting Section of Level V.

JOSEPH McCUNE

Ph.D., Michigan State University specializing in human resources and industrial psychology. He is currently an Assistant Professor, Industrial Relations/Human Resources for Rutgers University, New Brunswick, and an instructor in Level VI.

CHARLES NANRY

Ph.D., Rutgers University specializing in human resource management and training policy. He is currently a Professor of Sociology for Rutgers University, New Brunswick and since 1983 a member of the CPM Policy Board and an instructor in Level VI.

DOROTHY OLSHFSKI

Ph.D. and M.A. in Political Science, Temple University, specializing in Public Administration. She is an Assistant Professor at Rutgers University, Newark. She joined the CPM Program staff in 1986 and is an instructor of Levels I-IV and Level VI.

NADINE REIDY

M.A. in Educational Psychology, Rutgers University; B.A. in Psychology and Biology, Fairleigh Dickinson University. After serving as Personnel Director for the City of Plainfield, she joined the CPM Program staff in 1983 and is currently an instructor of Levels I-IV.

CHARLES RUSSELL

Ph.D. in Business Administration, University of Iowa specializing in compensation/personnel selection, job choice/turnover. He is currently an Assistant Professor, Industrial Relations/Human Resources for Rutgers University, New Brunswick and an instructor in Level VI.

SOPHIA SCHNITMAN

Ph.D in German and Comparative Literature, The Johns Hopkins University; M.A. in Conducting, Juilliard School of Music; B.A. in English and Music, Queens College. After serving in Resource Development for the New Jersey Department of the Treasury's Data Center, she joined the CPM Program staff in 1985 and is currently an instructor of Levels I-III.

McKINLEY WILLIAMS, JR.

Currently pursuing his M.S. in Management at Trenton State College he received his B.A. in Political Science and East Asian Studies from Livingston College, Rutgers University. He presently holds the rank of Major in the U.S. Army Reserves and has completed the Command and General Staff Officers Course. After serving as a Management Trainer for U.S. Steel Corporation, he joined the CPM Program staff in 1984 and is currently an instructor of Levels I-III.

ELECTIVE INSTRUCTION

Each student is required to complete 30 hours of elective instruction before receiving a Certificate in Supervisory Management (CSM) at the end of the third level. An additional 30 hours are required before receiving the Certified Public Manager (CPM) designation at the end of the sixth level. The purpose of the elective requirement is to: (1) develop those areas in supervision or management in which students lack strength; (2) enable students to focus on issues of relevance to their jobs; and (3) stay abreast with the ever-changing subjects of public management.

This requirement can be satisfied by completion of relevant courses offered by the Department of Personnel, other state, county, or local agencies, local colleges, and universities as well as private institutions that provide training and education. Generally, all elective courses should be in the area of supervision and management and supportive of the material offered in the various levels of the CPM Program as detailed in the course outline. Additionally, and whenever possible, the courses should be germane to the student's field of employment. Full credit on a year-for-year basis is given for courses completed within five years of application to the CPM Program and half credit is given for courses completed within five to ten years of application.

Shortly after beginning the Program, the classroom instructor provides each student with an Elective Instruction Review Application (DPF-495). Once completed, this form, along with supporting documentation of course content, should be returned to the instructor or sent directly to:

Department of Personnel
CPM Program Registrar
Princeton Forrestal Center
Arbor 600 - First Floor
600 College Road East
Princeton, NJ 08540

(609) 987-6329

PROJECTS

Participants in the CPM Program are required to plan and carry out a project for each level of instruction. The purpose of the projects is to extend participants' classroom learning into the domain of actual experience through application in their job setting of some of the supervisory/managerial principles discussed during the class sessions.

Levels I-III

All projects must contain the following information:

Purpose: What CPM skill/idea/concept/technique was applied in order to improve your practical knowledge of it?

Problem/Situation: A brief description of the problem/situation to which the above-named skill/idea/concept/technique was applied.

How the Skill/Idea/Concept/Technique was Applied: Describe briefly, but completely, the specifics of the manner in which the skill/idea/concept/technique was utilized.

Description/Documentation of Results: Discuss the results achieved from the application of the above-named skill/idea/concept/technique. This may fall into one of the following areas: (a) work changes/results — what changes occurred in the work environment, (b) skill/idea/concept/technique learning — what the participant learned about the practical use of the skill/idea/concept/technique from applying it in this project.

Levels IV-VI

Participants in Level IV are given topics from which they may choose a project or they may develop their own project subject to instructor approval which is related to the managerial concepts covered in class.

Participants in Level VI are required to select a project which focuses on some aspect of organizational development within their own organizational division. It is suggested that the project selected follow the Action Research Model.

It is the responsibility of the participant to ensure that project reports are received by the instructor in accordance with established time frames.

PRACTICUMS

During Levels I-III of the Program, students are required to apply, illustrate, or critique one or more of the concepts or practices discussed in a module through a brief in-class presentation. Practicums offer one of the main opportunities for participants to achieve "hands on" practice of the presented theory. Preparing and presenting practicums simulates the real-world problem of preparing and presenting brief incisive analysis of key work issues and problems to one's supervisors.

EXAMINATIONS

An examination is given at the end of each level of instruction. The format generally requires responses to multiple choice questions. The purpose of the examination is to gauge how well a student understood the material presented in that level. Only pass/fail grades are given. Upon request, instructors will provide individualized review of topic areas in which a student may feel weak.

All examinations are the property of the Certified Public Manager Program and may not be copied or duplicated by the student.

EVALUATIONS

The Certified Public Manager Program is evaluated on a continuous basis by the administrative staff, the instructors, the participants, the training community and the personnel community.

The areas evaluated include: content, quality of instruction, logistics, participant readiness and Program effect on performance. We welcome members of the training and personnel communities to make appointments to observe the Program in action.

CLASS COMPOSITION

In order to facilitate the CPM learning experience, great care is given to the composition of each class (group) of students. Employees are generally placed into a group according to their job level, education and years of experience. An effort is also made to mix together as many departments or jurisdictions as possible so that students may acquire a taste of what goes on in units outside of their own shop. Normally, superiors and subordinates are assigned to different groups in order to facilitate candid communication.

COPYRIGHT AND REPRODUCTION OF MATERIALS

Under no circumstances are any of the Certified Public Manager Program lectures or classroom materials to be copied or reproduced without written permission from the Program Director.

AFFIRMATIVE ACTION POLICY

The CPM Program concurs with the Administration's commitment to the advancement of women and minorities and shall not discriminate against otherwise qualified persons on the basis of race, color, religion, national origin, sex, age, handicap, disability or veteran's status in its administration, facility and program accessibility or services.

REQUIREMENTS FOR CERTIFICATION

In order to receive a Certificate in Supervisory Management (CSM), a participant must:

- Acquire approval of agency chief executive officer prior to admission to the Program.
- Complete at least four of five classes in Levels I, II, and III.
- Present an in-class practicum as well as submit a written report for each of Levels I, II, and III.
- Complete three outside-of-class projects, one for each of Levels I, II, and III demonstrating the application of skills attained.
- Pass three written examinations, one for each of Levels I, II, and III.
- Complete 30 hours of elective instruction (above the core curriculum of Levels I, II, and III) focusing on supervisory techniques.

In order to receive the Certified Public Manager (CPM) designation, candidates must:

- Acquire approval of agency chief executive officer prior to admission to the Program.
- Have a Certificate in Supervisory Management (CSM) showing successful completion of Levels I, II, and III.
- Meet minimum attendance requirements for Levels IV, V, and VI.
- Complete required outside-of-class projects for Levels IV, V, and VI.
- Pass three written examinations, one for each of Levels IV, V, and VI.
- Complete 30 hours of elective instruction (above core curriculum for Levels IV, V, and VI and the CSM requirement) focusing on management areas.

RECOGNITION AND USE OF CERTIFICATION

The designation of Certified Public Manager is a professional credential which is recognized by New Jersey State government and by other state governments in the Certified Public Manager Consortium. As the Consortium grows, the CPM designation is certain to achieve national recognition.

The Department of Personnel urges other state departments, agencies and local jurisdictions to consider the Certificate in Supervisory Management and the Certified Public Manager designation when they are considering supervisors or managers for higher positions.

Those individuals who acquire the Certificate in Supervisory Management (CSM) or the Certified Public Manager (CPM) designation are encouraged to join the Certified Public Managers Society of New Jersey which is composed of graduates of the Program.

The Society is a self-governing organization which is dedicated to the furtherance of modern public management techniques. This group sets the standards for retention of the certification and the guidelines for continuing education and job performance.

The American Council on Education's Program on Non-Collegiate Sponsored Instruction (PONSI) has recommended the following award of college credits upon successful completion of:

LEVEL I (LEADING AND DIRECTING), LEVEL II (ORGANIZING), AND LEVEL III (PLANNING)

3 semester hours:	Organizational Behavior	
3 semester hours:	Human Resources Management or Management in the Public Sector	6 UL*

LEVEL IV (MANAGEMENT FUNCTIONS IN STATE GOVERNMENT)

3 semester hours:	Public Administration	3 UL/GR*

LEVEL V (MANAGERIAL TOOLS FOR TODAY'S EXECUTIVE)

3 semester hours:	Introduction to Microcomputers for Managers or Management Information Systems and the Public Sector (Note: not a computer science class)	
2 semester hours:	Public Finance	
1 semester hour:	Administrative Law	6 UL/GR*

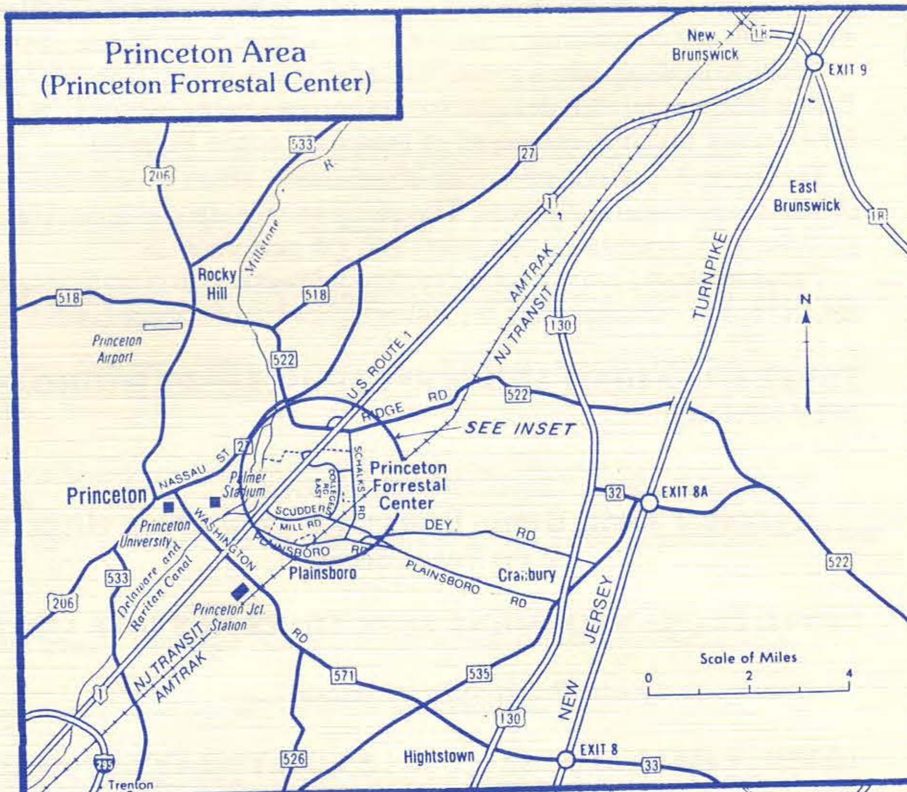
LEVEL VI (ORGANIZATIONAL AND HUMAN RESOURCES DEVELOPMENT)

3 semester hours:	Organizational Development or Organizational Change and Development	3 UL/GR*

*UL = upper-level baccalaureate category
GR = graduate level

LOCATION OF TRAINING FACILITIES

The CPM Program is intent upon making the Program geographically accessible to students throughout the State. The map below shows the CPM Administrative Offices and Central Training Facility in Princeton.



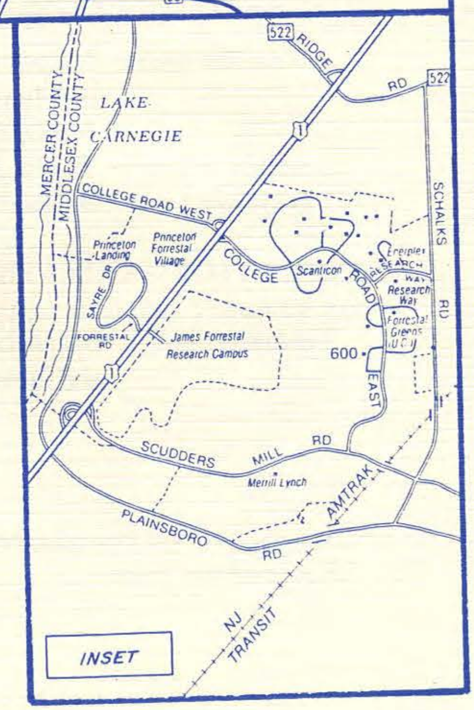
PRINCETON FORRESTAL CENTER

Arbor 600 - First Floor
600 College Road, East
Princeton, NJ 08540

The Princeton Forrestal Center is located approximately 12 miles from Trenton. Take U.S. Route 1 North to College Road, East (right turn at traffic light). From New Brunswick the Princeton Forrestal Center is approximately 14 miles. Take U.S. Route 1 South to College Road, East (jug handle from right lane at traffic light). Once on College Road East, Arbor 600 is about one mile from U.S. 1 on the right.

Parking is available in the lot to the rear and farthest from the building.

Other training sites are widely distributed throughout the State in order to shorten the commuting time for those students residing in Northern or Southern New Jersey. The following map illustrates those locations currently being utilized. There is a section on the application form which allows applicants to indicate their geographic preference. Students are notified of the exact training location in their letter of acceptance into the Program. While every effort will be made to assign students to preferred locations, we cannot guarantee any requested site.



CPM Training Sites

1. Bergen Pines County Hospital
East Ridgewood Avenue
Paramus, NJ

2. Burlington County College
Pemberton-Browns Mill Road
Pemberton, NJ

3. Educational Information
& Resource Center (EIRC)
207 Delsea Drive
Rt. 47
Sewell, NJ

4. Glassboro State College
Route 322
Glassboro, NJ

5. Hunterdon Developmental Center
Pittstown Road
Clinton, NJ

6. Institute of Management &
Labor Relations
Douglas Campus -
Rutgers University
New Brunswick, NJ

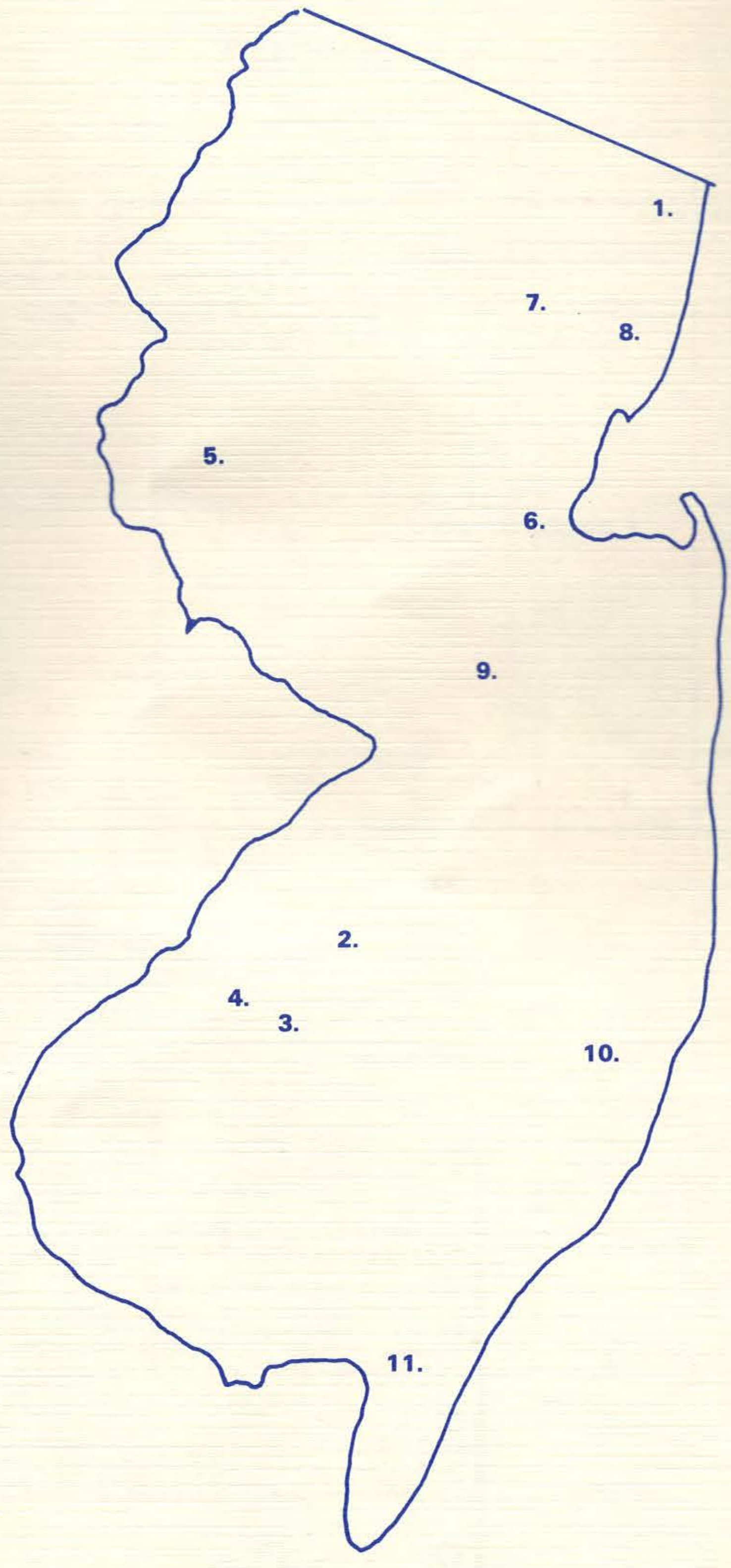
7. Mountainview Elementary School
Meyersville Road
Chatham, NJ

8. Newark Training Center
Department of Personnel
80 Mulberry Street
Newark, NJ

9. Princeton Forrestal Center
Arbor 600 - First Floor
600 College Road East
Princeton, NJ

10. Stockton State College
Jimmy Leeds Road
Pomona, NJ

11. Woodbine Developmental Center
DeHirsch Avenue
Woodbine, NJ



APPLICATION — LEVELS I, II, III

New Jersey Certifed Public Manager Program

NEW JERSEY DEPARTMENT OF PERSONNEL

FOR PROGRAM USE ONLY	
Assigned Group Number	Start Date
Location	

(Please Print or Type)

1. NAME *(last, first, middle initial)*	2. SOCIAL SECURITY NUMBER
3. JOB TITLE *(Department of Personnel Title for State Employees)*	4. TITLE RANGE/SALARY
5. DEPARTMENT/AGENCY/JURISDICTION	6. DIVISION/INSTITUTION/UNIT

7. BACKGROUND DATA
Completion of this part is mandatory and is to be used only for complying with EEOC Guidelines and the New Jersey State Affirmative Action Program.

A. SEX
1. ☐ **Male**
2. ☐ **Female**

B. CHECK THE GROUP YOU ARE A MEMBER OF
1 ☐ **Black (Non Hispanic)** 2 ☐ **White (Non Hispanic)** 3 ☐ **Hispanic**
4 ☐ **Asian or Pacific Islander (Including Indian Sub-continent)**
5 ☐ **American Indian or Alaskan Native**

8. **HANDICAPPED INDIVIDUALS** This information will only be used to help us provide reasonable accommodations so handicapped applicants can participate on an equal basis. Completion of this section is voluntary and will be kept confidential. Please explain any special considerations/assistance needed for attendance

....

....

....

9. HOME ADDRESS	**10. BUSINESS ADDRESS**
(Street)	*(Street)*
(City) *(County)*	*(City)* *(County)*
(State) *(Zip Code)*	*(State)* *(Zip Code)*
Home Phone: ( )	*Business Phone:* ( )

11. Number and job title(s) of people supervised ....

12. Describe current job responsibilities ....

13. Total years of experience in NJ State Government ....

14. Total years of experience as supervisor in NJ State Government ....

15. EDUCATION *(Check highest level completed)*
☐ High School ☐ Some College
☐ Associate ☐ Bachelor
☐ Some Post Graduate
☐ Masters ☐ Doctorate
Area of Study:
....

16. Training sites, whenever practical, will be located so they are most convenient to the majority of participants in each class. Please indicate your preference

☐ **Zone A** (Mercer) ☐ **Zone B** (Hunterdon, Warren) ☐ **Zone C** (Sussex, Passaic, Bergen, Morris, Essex, Hudson, Union)
☐ **Zone D** (Somerset, Middlesex, Monmouth) ☐ **Zone E** (Burlington, Ocean) ☐ **Zone F** (Atlantic, Cape May, Cumberland)
☐ **Zone G** (Camden, Gloucester, Salem)

Generally, CPM Levels I — III are conducted Monday — Thursday. If there is a day of the week that you are NOT able to attend, please specify: ....

17. APPLICANT'S SIGNATURE

⇨ .... Date: ....

THIS APPLICANT IS RECOMMENDED AND AUTHORIZED TO ATTEND THE CERTIFIED PUBLIC MANAGER PROGRAM.

⇨ ....
(Chief Executive Officer or Designee) *(Date)*

Completed forms should be sent to:

Department of Personnel
Division of Management Training and Employee Services
CPM Program
CN 318
Trenton, NJ 08625
(609) 292-8220

DPF-489 / REVISED 12-86 **DISTRIBUTION:** White - CPM Administration; Yellow - Training Officer

ELECTIVE INSTRUCTION REVIEW APPLICATION

NEW JERSEY CERTIFIED PUBLIC MANAGER PROGRAM
NEW JERSEY DEPARTMENT OF PERSONNEL
RUTGERS, THE STATE UNIVERSITY

(PLEASE PRINT OR TYPE)

1. NAME (last, first, middle initial):	2. SOCIAL SECURITY NUMBER:	3. GROUP NO.:

4. DEPARTMENT/AGENCY JURISDICTION:	5. DIVISION/UNIT:	6. Date of Application:

7. EDUCATION/TRAINING COMPLETED IN THE LAST FIVE YEARS:

Name of Course	No. of Classroom Hours	Date Completed	Sponsored By	Grade Received	Program Use Only	
					Levels I - III	Levels IV - VI

SAMPLE

8. OTHER EDUCATION OR TRAINING YOU WISH TO ADD FOR CONSIDERATION:

DO NOT WRITE BELOW — PROGRAM USE ONLY

Number of Elective Hours Approved: .... *Levels I — III* .... *Reviewer's Signature* .... *Levels IV — VI* .... *Reviewer's Signature*

Posted & Acknowledgment Mailed to Applicant: .... *Levels I — III Initials & Date* .... *Levels IV — VI Initials & Date*

DPF-495 (Revised 1-87)

DISTRIBUTION: 1 CPM Administration; 2 Rutgers Administration; 3 CPM Administration; 4 Training Representative

RATERS
READY
REFERENCE

PERFORMANCE ASSESSMENT REVIEW

DECEMBER 1986

NEW JERSEY DEPARTMENT OF PERSONNEL
DIVISION OF MANAGEMENT TRAINING AND EMPLOYEE SERVICES

RATERS READY REFERENCE

PERFORMANCE ASSESSMENT REVIEW

DECEMBER 1986

NEW JERSEY DEPARTMENT OF PERSONNEL
DIVISION OF MANAGEMENT TRAINING AND EMPLOYEE SERVICES

FOREWORD

Performance Assessment Review (PAR)

PAR is the measurement of employee performance against predeveloped and mutually agreed upon standards of performance.

The mere measurement of performance makes no contribution to making it better. Therefore, concentration is on designing the single best measurement which will support what gets done.

In order to do this there are a series of steps that the Rater and Ratee must take:

1. Define the job. To do this identify the collection of tasks that need to be accomplished and/or the broad general duty(ies) or responsibility(ies) that make up the job.

   Examples of work assignments: supervising, counseling, auditing, typing, filing, scheduling, controlling supplies, monitoring, issuing checks, interviewing, painting, driving, loading, etc.

2. Develop together standards of performance that reflect a Standard level of performance. The standards developed must be objective, attainable, measurable, and related to the job.

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PREFACE

Introduction

The purpose of this manual is to serve as a ready reference source for supervisors and managers who are responsible for completing PAR with their staff. A performance evaluation for each employee in the classified service is required under the New Jersey Administrative Code Title 4, Civil Service 4:l-20.1 et seq., and Title 11 of the New Jersey Statutes Annotated, Civil Service 11:13-1 et seq.

Format

The outline format of this manual makes it easier to read and to find information. Each page has a heading indicating the subject discussed. In the right margin of each page, there are headings which indicate the content of each paragraph.

Additional Information

The intent is to use this reference manual to guide and support the formal training that has been provided. Most questions which might come up in the use of the PAR system should be answered by the material in the manual. If not, please contact your departmental Coordinator, who will obtain the information for you. The Coordinator is the departmental designated liaison to the PAR program staff. The PAR Office is located in the Department of Personnel, Room 15, 120 South Stockton Street, CN 318 Trenton, New Jersey 08625, (609) 633-622l.

What is Performance Assessment Review (PAR)?

Definition

PAR is a communication process between employee (Ratee) and their supervisor (Rater). An objective assessment system provides each employee rated with an opportunity to achieve an objective and satisfying level of performance. It also offers an opportunity for him/her to fully utilize his/her skills, knowledge and abilities. It is a clearly defined process with a special form and a structured schedule of performance assessment interviews. Appreciation, in all State departments and agencies, of this program will help insure equity and uniformity.

Purposes

The primary purposes of PAR are:

- to identify clearly, work assignments and develop standards of performance for each employee;
- to recognize positive contributions to the work effort;
- to identify and remedy performance problems that hinder an employee's performance and development;
- to give employees an objective answer to the question "How am I doing?";
- to help employees to improve job performance.

WHY USE THE PAR SYSTEM?

Some Benefits of a Rating System for Ratee and Rater

FOR RATEE

Advantages of the System

1. Obtain clearer understanding of what the Rater's expectations are.
2. Helps plan how to improve, change or grow in relationship to work produced.
3. Provides an opportunity to have input in organizing one's work life, and an occasion for job enrichment.
4. Provides objective measure of job elements.
5. Provides a mechanism for helping with personal problems which adversely affect job performance.

FOR RATER

Advantages of the System

1. Offers opportunity to better understanding the individual employee's contribution to the work unit.
2. Affords an opportunity for implementing better plans for future job satisfaction for Ratees and self.
3. Produces a continuity of information about the work being done and the Ratee's contribution.
4. Provides an opportunity to obtain from the workplace satisfaction for some of the perceived needs, wants and desires.
5. Provides a formal mechanism for planning and controlling the work.

WHO PARTICIPATES IN PAR?

Introduction

PAR is required for all employees in the classified service.

Classified employees

PAR is required for those classified employees who: have a regular appointment (RA), provisional appointment (PA), or temporary appointment (TA).

Unclassified

To maintain open communication with all employees at all levels it is strongly recommended that PAR be used for evaluation of all unclassified employees in the system.

PAR is not required for:
- Employees serving in a trainee title.

THE INTERVIEWING PROCESS

Introduction

The interviewing process is central to the impact and acceptance of the PAR system by the Ratee.

The system requires, minimally, three interviews in a 12 month cycle.

1. Initial interview/Identification of Job and Development of Performance Standards for the Agreement.
2. Interim interview/the midpoint review.
3. Final interview/the rating is assigned for entire PAR cycle.

The approach is the same for each of the interviews.

Elements of an Interview

Each interview, regardless of the reason it is being held, should reflect these basic elements:

1. Purpose - an exact objective to be accomplished.
2. Preparation - Rater and Ratee will make advance preparation for each interview
3. Time - mutually agreed upon without interruption and of ample duration.
4. Setting the (climate) - making certain that the "proper atmospherics" are in place - open trust in relationship between Rater and Ratee.
5. Closure - opening and closing of each interview are proper and each participant leaves with feeling of accomplishment.

Purpose

Rater sets forth purpose of interview. This dependent upon which interview it is - initial agreement, interim, or final review.

Climate

To have a climate conducive to an open exchange the following items must be in place.

Timing - Each participant arranges his/her own schedule to have the time to adequately explore issues and evaluate suggestions.

Location - The physical setting should not appear to be advantangeous to either participant--neither authoritarian or threatening.

Privacy - No interference or interruption be allowed during the entire time period.

Rater is responsible that entire interview is conducted in an atmosphere of openness. In order to do this Rater takes the following actions:

Preparation

Rater informs Ratee when and where interview will take place. States purpose in order that Ratee can make the necessary preparation. Notice of interview should give Ratee at least two working days prior to meeting date..

Rater preparation consists of:

Planning - Mentally setting parameters—out-lining the extent and depth that each item will be pursued.

1. Selecting only important items.
2. Discussing areas of recognition, areas needing improvement.
3. Making suggestions which will have value to Ratee.
4. Cooperatively generating a plan of action.
5. Giving only genuine praise.
6. Giving constructive criticism.

Communication

1. Rater should give undivided attention to Ratee.
2. Ratee should be given signals that what is stated is understood by Rater.
3. Questions should be open ended requiring explanation and elaboration by Ratee.
4. Comments should seek information, not make judgments.
5. Pitch of voice, and tone of question should reflect an openness to accepting response.
6. Closure such as to let Ratee know "door is always open" making it clear that further discussions can be arranged at any time.

HOW TO USE PAR

The Essential Elements of PAR

The PAR system is composed of three essential elements:

– the performance agreement
– the interim evaluation
– the final evaluation

Each of these elements is explained separately in the following material. It would be helpful to have available a copy of the PAR form.

Performance Agreement

(Section I)

The performance agreement is composed of the major work assignments for which an employee is responsible and the realistic standards against which performance will be measured during the rating period. The work assignments and performance standards should be mutually discussed during a meeting or interview specifically called for this purpose.

Work Assignments

Work assignments are identified as the broad general duties or responsibilities which make up a job. A job consists of all the work assignments, duties or tasks performed by a worker. When completing a PAR form, only the major duties, responsibilities, should be listed in Section 1. Limit the number of assignments to no more than 8. Some examples of work assignments include: supervising, auditing, typing,monitoring, filing, scheduling, maintaining, etc. Do not list every task or function performed to carry out the duties or responsibilities.

Examples of Work Assignments

– to audit all federal grants of Division X;

– to type all correspondence of division director;

– to maintain all audio-visual equipment for training office.

Performance Standards

Standards should be objective, measurable and attainable. Each work assignment must have one or more standards. They should be written to provide employee sufficient flexibility to perform under varying work loads. The performance standard is the measure by which the work is assessed.

Standards are usually composed of one or more of the following elements

Quantity
Quality
Manner of Performance
Timeliness
Costs.

Examples:

Work Assignment	Performance Standard
To audit all federal grants of Division X.	To audit each grant and complete quarterly reports by the last work day of January, April, July and October. All audit exceptions must be filed within three months of the end of the fiscal period.
To type all correspondence of division director.	Complete all correspondence for peer level or above with no errors on final copy. All typing must be completed within two work days of assignment.

Writing acceptable and meaningful standards is one of the most challenging parts of completing a PAR agreement. The following information is given to help develop performance standards.

Performance standards are normally classified:

Types of Standards

1. There are three types:

   (a) Engineered - Base the standard on what must be done.

   (b) Historical - Base the standard on what was done before.

   (c) Comparative - Base the standard on what others are doing in the same or similar work.

2. There are three ways to express standards:

   (a) Positive - Know what is wanted.

   (b) Negative - Not know what is wanted - know what is not wanted.

   (c) Zero - No deviations allowed.

The criteria for writing performance standards are:

(1) They should be identified with a specific job task or responsibility.

(2) They should be specific enough to indicate when job meets the established standard/s.

(3) They should contain a target date for achievement.

(4) They should be general enough to permit some latitude in achieving them.

Fact Sheet of Significant Performance Events

The purpose of the fact sheet is to act as a written repository of performance events which occurred during an evaluation period. This fact sheet serves an important function in the PAR process. These recordings have a positive or negative effect in accomplishing major work assignments. Significant performance events are recorded as they occur, for each Ratee by the Rater. The Ratee is to be notified of every entry into the fact sheet. The Ratee's initials are required to appear along side each entry indicating knowledge of the event and its recording. The Ratee's initial indicates that Ratee is aware of the recording, does not indicate agreement.

Benefits

Raters, instead of attempting to recall events, will use those recordings as a basis for performance discussions. The advantage of this "on-going" review technique is that the Ratee will receive meaningful feedback on a continuing basis. The recordings support the rating and recommendations of the Rater.

Definition of five level ratings

Introduction

The PAR system consists of a five level rating scale:

1. Significantly Above Standard - Far exceeds the job standards by consistently exhibiting excellent performance considering the job in its entirety.

Produces quality work requiring little direct supervision and guidance. Rare to find errors, exceeds productivity standards, always completes assignments in advance of targeted time frame.

2. Moderately Above Standard - Frequently exceeds job standards, identified with a high level of performance. Work requires few corrections and these are minor. Needs occasional supervision and infrequently seeks guidance.

3. Standard - Meets all the performance standards established for the job. At times exceeds performance standards. Consistently an average, reliable employee; rarely needs guidance.

4. Marginally Below Standard - Meets performance standards on an intermittent basis. Work requires more than average checking. Lacks constant accuracy, and work must be monitored constantly and often redone.

5. Significantly Below Standard - Consistently and seriously fails to meet performance standards. Much of work barely acceptable and/or unacceptable. Work requires constant checking and individual, constant supervision. Rarely recognizes own error/s in work before releasing it as finished product. Fails to carry out his/her share of the work load of the unit.

ASSESSMENT INTERVIEWS

Interim Assessment Review

The interim assessment and rating takes place during an interview specifically scheduled to review the Ratee's performance during the first six months of the PAR period. Please review section in manual on Interviewing Process.

The purpose of an interim assessment interview is three-fold:

I. It serves to recognize and reinforce standard or above standard performance;

2. It identifies performance problems six months prior to final rating;

3. It provides signals to the Rater when an action plan is necessary.

Together the Rater and Ratee should review the significant performance Fact Sheet and discuss how the Ratee handled each work assignment and whether the established performance standards were met. The Rater should then review the definition of each of the five ratings and decide which rating best describes the total performance of the Ratee during the preceeding six months.

Final

The final assessment interview (Section 3 of the PAR form) is scheduled in accordance with the timetable establishing action dates on the face of the form. The purpose of the final review is:

1. To determine the final assessment rating;

2. To review the necessity for revising, modifying and/or changing assignments and/or performance standards;

3. To set a new agreement for the coming year.

Although the final assessment review has different outcomes than the interim assessment review, the same procedure for conducting the interview applies.

The distribution of the copies of the agreement, interim and final assessment is noted on the bottom of PAR form.

Common Rater Errors

Evaluating and rating the performance of another is a most difficult assignment. However, it is a crucial part of being a supervisor or manager. To help Raters prepare to assess their Ratees the following common rater errors are given to show those pitfalls which can and should be avoided.

(a) Strict Rating - this occurs when a Rater consistently rates lower than his/her peer Raters in the same work environment. This Rater believes that there is no one person who is ever deserving of a significantly above standard rating. The strict Rater may also believe that Ratees in certain jobs that are "routine" or entry-level are never deserving of a significantly above standard rating.

(b) Lenient Rating - this happens when a Rater consistently gives higher ratings than peer Raters in the same work environment. This Rater is the person who is too "nice" and sets low performance standards.

(c) Horn Effect - this effect occurs when a Rater gives a Ratee a low rating not as a result of the Ratee's overall performance but because the Ratee's performance is lacking in one area.

(d) Halo Effect - this is the exact opposite of the horn effect. Under the halo effect a Rater will give a Ratee a high overall performance rating based only on outstanding performance in one area or for one occasion.

SIGNIFICANCE OF THE ASSIGNED RATING

Significantly Above Standard

This rating recognizes the performance of the Rateeby awarding three (3) additional points to the passing score on a promotional examination.

Moderately Above Standard

This rating acknowledges the performance of the Ratee by awarding two (2) additional points to the passing score on a promotional examination.

Standard Performance

This rating entitles the Ratee to receive one (l) additional point to the passing score on a promotional examination.

Marginally Below Standard

This rating is intended to serve a crucial role in the use of PAR as a developmental tool. This rating acts as a signal to the Rater and Ratee that a plan of improvement must be developed and implemented. Since the rating does not result in the loss of an increment, sufficient follow-up meetings must be held with the Ratee to assure the necessary progress is being made.

When substantial improvement occurs over a sustained period, the rating can be changed to Standard.

Another important aspect of the marginally below standard rating is that it cannot reflect an employee's performance for two consecutive years. It now becomes mandatory for the Rater and Ratee to design and implement a plan of action to improve employee performance. In the following year, employee performance must improve enough to at least meet the requirements of a Standard rating. If the improvement is not made, the employee receives a rating of Significantly Below Standard. (The Reviewer and the Rater must discuss the reasons for not achieving the objectives of the improvement plan.)

Significantly Below Standard

This rating identifies employees who, because of their poor performance, are having serious problems with the work assignments.

This rating signifies that the employee is having problems with the work assignment and that corrective actions must be taken. The Rater must arrange to refer Ratee to the Civil Service Employee Advisory Service and an Improvement Plan consistent with the findings of EAS recommendations must be implemented and documented. The Improvement Plan must be specific and action oriented. The annual increment will be withheld until the Standard level of performance is attained. Improved performance that warrants reinstatement of the increment must be sustained for a period of at least 90 days. The anniversary date will not be affected by this action.

It is the responsibility of the Rater to keep the Reviewer informed of the progress of the Ratee as it relates to the Improvement Plan.

Each of the ratings requires either a developmental or an improvement plan. Both of these plans must be consistent with the needs of the employee, the job, and the work unit. They should be well thought out and desired results identified over a specified period of time.

The selection of the items to be used for each employee is dependent upon the individual's needs and circumstance. The elements of a Developmental or Improvement plan are listed below. These items can be used individually or in combination to achieve the desired results for each employee.

Training Job related instruction, seminars, conferences, symposiums, etc.

Education Improvement of knowledge in an academic context.

Supervision Closer observation and communication between the supervisor and the employee.

Coaching Assigned to work with a peer in order to exchange information and techniques.

Job Enrichment Adding tasks consistent with the title that are challenging and/or interesting.

Job Restructuring Re-arranging the tasks of the job to capitalize on the strengths of the employee within same job title.

THE ROLE OF THE DEPARTMENT PAR COORDINATOR

Has overall responsibility for effectively implementing and operating the PAR system in a State department, agency, college, commission or other major subdivision. Is principal recource for interpretation of the PAR system in his/her agency. In some instances it may be necessary and convenient to appoint PAR coordinators at satellite operations, functioning through the designated central department coordinator.

Reviews coordinator's copy of PAR Agreement and Assessment Reviews to establish:

1. Standards expressed are measurable.
2. Final rating form completed in its entirety.

Works with training office to assure PAR training is scheduled for newly appointed managers and supervisors. Arranges for review sessions to reinforce the training for all existing managers and supervisors. Selects particular areas that may need specific emphasis: expressing measurable standards, and development of realistic improvement and/or developmental plans.

Inform the training office of all identified training needs as recorded in the PAR form.

Assists personnel of the Department of Personnel PAR office to arrange for audit visits by assembling necessary records, scheduling interviews and providing any other necessary materials.

Acts to clarify and ameliorate differences when they occur between supervisor and employee in an effort to reduce grievances. This is often a joint effort with the PAR office at the Department of Personnel.

Assures a procedure is established and maintained for alerting supervisors and managers when their employees anniversary date occur so they may properly schedule interviews consistent with the cycle established in the PAR system.

EMPLOYEE ADVISORY SERVICE (EAS)

What is EAS?

A professional and confidential counseling service available to all State employees or members of their families. The counseling covers any personal problem which may affect employee job performance.

Where is it?

EAS has three regional offices and many satellite offices throughout the State.

Phone: Trenton .... Scan 8 - 322 - 8543
.... (609) 292-8543
Hammonton .... Scan 8 - 553 - 3280
.... (609) 561 - 7201
Newark .... Scan - 8 - 221 - 3832
.... (201) 648 - 3832

How does EAS work?

State employees can be referred by their supervisors, or may directly contact the EAS and set up a confidential appointment.

Referral to EAS Optional

1. Marginally Below Standard performance rating when situation warrants referral.

Mandatory

2. Any Significantly Below Standard performance rating.

DISCIPLINE

Authority

N.J.S.A. 11A:2-20; NJAC Title 4:1 Chapter 16.1.

Definition

Discipline in the State service means an official written reprimand, fine, suspension without pay, reduction in grade or dismissal from service for just cause.

Any one of the following shall be cause for removal from the service although sufficient cause may be for other than those listed:

Causes for Disciplinary Action
Ref: NJAC 4:1-16.9

1. Neglect of duty;
2. Incompetency or inefficiency;
3. Incapacity due to mental or physical disability;
4. Insubordination or serious breach of discipline;
5. Intoxication while on duty;
6. Chronic or excessive absenteeism;
7. Disorderly or immoral conduct;
8. Willful violation of any of the provisions of the Civil Service statutes, rules or regulations or other statutes relating to the employment of public employees;
9. The conviction of any criminal act or offense;
10. Negligence of or willful damage to public property or waste of public supplies;
11. Conduct unbecoming an employee in the public service; or,
12. The use or attempt to use one's authority or official influence to control or modify the political action of any person in the service or engaging in any form of political activity during working hours.

When disciplinary action has been completed and a punishment levied then this situation should not be repeated on the PAR unless there was direct adverse effect on performance. The Performance Assessment Review should be concerned only with those facts that directly effect performance and not a repeat of the disciplinary act.

The Performance Assessment Review system is a developmental tool designated to recognize the strengths and weaknesses of each employee.

Circumstances requiring disciplinary action are addressed in the New Jersey Statutes Title 11A:2-20 and the New Jersey Administrative Code Title 4:1-16.1.

When a disciplinary action has been completed and sanction(s) applied this situation should not influence the Interim or Final Assessment unless there was a direct adverse effect on performance. P.A.R. should not be used to replace the Disciplinary Process.

Each department reserves the right to formulate a procedure for disciplinary actions which best suits its needs.

Check List for Rater

INITIAL INTERVIEW

Action Required

1. Rater and Ratee meet to develop and to identify principal parts of job and related standard/s of performance.

   Discuss the job and the related performance standards.

Results Attained

1. Completion PAR Form Section 1--Performance Agreement.
2. Rater and Ratee initial.
3. Distribution of Form--Original (white) to Rater; Second copy (yellow) to Ratee; Third copy (blue) to Department/Unit Coordinator.

INTERIM REVIEW INTERVIEW

Action Required

1. Rater and Ratee review the work done against the standard/s of performance in Performance Agreement Section 1, and by referring to notations on Fact Sheet.
2. Rater assesses results.
3. Generate an Interim Developmental/Improvement Plan whichever is appropriate.
4. Performance Significantly Below Standard/s require referral to EAS.

Results Attained

1. Standard/s of Performance may be revised, modified, or remain unchanged.
2. Select level which describes work performed.
3. Complete Interim Assessment: Review Section 2; Complete Interim Developmental/Improvement Plan.
4. Rater, Ratee, and Reviewer initial.
5. Distribution of Form--Original (white) and First and Second copies (yellow and blue) remain with Rater's file. Third copy (green) to Ratee.

FINAL ASSESSMENT INTERVIEW

Action Required

1. Rater and Ratee review standard/s of performance for entire rating cycle (12 mos.), notations on Fact Sheet, and Developmental/Improvement Plan.
2. Set date for meeting to prepare Performance Agreement for next 12 month rating cycle.

Results Attained

1. Select level which best describes work performed.
2. Complete Final Assessment Review Section.
3. Complete Developmental/Improvement Plan.
4. Rater, Ratee, and Reviewer initial.
5. Distribution of Form--Original (white) remains in Rater's file. First copy (yellow) to Ratee; Second copy (blue) to Coordinator who initiates annual increment action.

NOTES:

E.

CPM

Certified Public Manager Program

MANAGING FOR IMPROVED SERVICE & PRODUCTIVITY

STUDENT HANDOUTS

FOR CPM LEVEL — 1

Improving New Jersey Government Performance Through Education and Training

CPM

CERTIFIED PUBLIC MANAGER PROGRAM

Dear Certified Public Manager Participant:

We would like to take this opportunity to welcome you to the New Jersey Certified Public Manager Program. Although the program will require a great deal of work on your part and a commitment to improving the management of State government, we are pleased that you have decided to expend the necessary effort in order to improve your supervisory and managerial effectiveness.

This is a very exciting time for public sector employees in that the economic and social conditions of our country have expanded the need for various governmental services. As supervisors and managers in the public sector, you are responsible for the efficient and effective management of a variety of programs which impact upon the delivery of services to the State's citizenry and on the smooth operation of New Jersey government at all levels.

The Certified Public Manager Program was designed to provide you with information from a theoretical perspective and an opportunity to experiment and translate the theory into practice.

The Program is not intended to be dogmatic but, rather, to emphasize pragmatic management tools and skills and to allow you, the participant, an opportunity to exchange ideas. In addition, the Program is not intended to be the totality of your training and education in supervisory/managerial theory and practice, but a starting point which will provide all State supervisors and managers with a common experience upon which they can build.

Previous participants in this program have found it worthwhile and we sincerely hope that you will have an interesting and rewarding experience during your time with us.

Sincerely,

William Scheuer

William G. Scheuer
Executive Director

Alma Joseph

Alma Joseph
Deputy Executive Director

Improving New Jersey Government Performance Through Education and Training

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CPM PROGRAM

OPERATION PROCEDURES

LEVELS I, II, and III

1987 - 1988

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CERTIFIED PUBLIC MANAGER PROGRAM

9/21/87 9:00AM.

Section 1. CERTIFIED PUBLIC MANAGER PROGRAM OVERVIEW

On January 13, 1983, Governor Thomas H. Kean signed Executive Order 28, implementing the New Jersey Certified Public Manager Program. The feeling at that time, and which remains today, is that well-trained supervisors and managers are essential to increased productivity, better service and improved professionalism in State government. The New Jersey Certified Public Manager Program (CPM) represents a means to empower participants through educational activities to become more efficient, effective and just organizational leaders.

CPM is part of a national effort to provide training and education for individuals in both state and local government. New Jersey is part of the National Certified Public Manager Consortium, currently numbering 15 states plus several seeking membership, which is committed to the development of well-trained and certified public managers. The CPM designation is a professional, rather than an academic, credential similar to Certified Public Accountant (CPA). The professional designation is based on a demonstrated ability to make practical applications of accepted management concepts.

In New Jersey, the CPM Program is conducted jointly by the NJ Department of Personnel and Rutgers University. For administrative purposes, the Program is divided into six levels. The first three levels, which involve a total of 90 contact hours, focus on the basic practical techniques and applications of supervision. Successful completion leads to a Certificate in Supervisory Management (CSM). The remaining three levels, which involve 150 contact hours in advanced areas, are primarily for managers pursuing the Certified Public Manager designation (CPM).

Section 2. GENERAL REQUIREMENTS FOR A CERTIFICATE IN SUPERVISORY MANAGEMENT (CSM)

In order to receive a Certificate in Supervisory Management (CSM), a student must:

- Acquire approval of the agency's chief executive officer prior to admission to the Program.
- Complete a minimum of four of five classes in Levels I, II, and III.
- Submit a written practicum and give an oral in-class presentation in each of Levels I, II, and III.
- Submit a concept-application project report for each of three outside-of-class projects, one for each of Levels I, II, and III.
- Pass a written examination for each of Levels I, II. and III.
- Submit documentation of 30 hours of elective instruction (focusing on supervisory techniques) completed in addition to the core curriculum of Levels I, II, and III.

Section 4. ATTENDANCE

Students must attend a minimum of four of the five classes for each of Levels I, II, and III in order to be eligible for a Certificate in Supervisory Management. For the Certified Public Manager designation, a student must complete five of the six and one-half classes in Level IV, ten of the eleven classes in Level V, and five of the six classes in Level VI. Attendance is recorded by means of a student sign-in sheet at each session. Students are strongly urged to attend their own scheduled group's classes; however, students who miss a class may attend make-up classes with the permission of their instructor. The CPM Program Registrar may be contacted regarding class schedules for makeup purposes.

Section 5. INCLEMENT WEATHER POLICY

CPM classes will be cancelled during inclement weather only if the Governor closes all State offices. The following radio stations have agreed to broadcast this information:

WHWH 1350 AM/WPST 97.5 FM PRINCETON/TRENTON

WMTR 1250 AM/WDHA 105.5 FM MORRISTOWN

WHN 1450 AM/WFPG 97 FM ATLANTIC CITY

KYW 1060 AM PHILADELPHIA

WJLK 1310 AM/94.3 FM ASBURY PARK

WCTC 1450 AM NEW BRUNSWICK

On occasion, classes conducted at facilities other than State offices may be cancelled if the individual site is closed. Students should report to their work sites and call the CPM Program Office for information related to make-up dates.

To reschedule makeup classes (609) 987-6329
-6330
-6331

Bob Kovacs 609 987-6336

III. Oral Presentation Requirements

The oral presentation is a brief summary, 4 minutes or less, of the application of the concept described in the written report. The presentation should be clear and concise. It is not intended to be a memorization or reading of the written practicum.

IV. Role of the Class

It is the responsibility of the class members to learn from others' concept-application experiences and to develop their own effective listening and analytical thinking skills. In addition, class members are expected to assist in the assessment of the efficiency (follows the format) and the effectiveness (achieves the purpose) of the speaker's practicum.

V. Evaluation

Evaluation of the practicum, in addition to the class's critique, is provided by the instructor. Practicums will be evaluated on the basis of accepted/not accepted. Practicums that are not accepted will be revised under the guidance of the instructor.

be more rigorous with documenting evidence.
Level III paper due - March 14, 1988

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Section 7. CPM CONCEPT-APPLICATION PROJECT AND PROJECT REPORT REQUIREMENTS

I. CPM Concept-Application Project: Purpose and Requirements

During the instructional period, linkages between the classroom setting and the world of work are constantly made. At the end of each level of instruction, the CPM Program provides the students with the opportunity to extend the relationship of course learning to on-the-job practice by requiring a project and a written project report.

The project requires the student to implement in his/her work environment a new action based upon a CPM concept covered in class. By "new action," it is meant that the action must take place subsequent to the class in which it was presented. The action does not have to be successful for the project to be acceptable as a learning experience. The key is that the student must try out a new concept and report his/her own experience.

II. Project Report: Requirements

In general, the student plans, implements, experiences, and evaluates the new action, which was based on a CPM concept, and writes a report on it. The student is identified within the action in the first person: "I planned" or "I discovered that. . . ." Research papers are not acceptable.

Project reports must be typed, double-spaced and approximately five pages in length. Writing must conform to accepted standards of English usage.

In its simplest form, a well thought-out project report will include the following components: Cover page and subheadings A thru F. (See below.)

Cover Page

Title of Project
Student's Name
Work Telephone #
Group #
Level
Date
Instructor's Name

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Subheadings

Each subheading must be clearly identified in the project. For example, the subheading, "A. Describe the Concept Applied" must appear in the written project report. The specific questions which are listed under each of the subheadings below are provided as content guidelines only.

A. DESCRIBE THE CPM CONCEPT APPLIED

Which CPM concept have you chosen to apply? How do you define this concept? What was the new action you took?

B. DESCRIBE YOUR SITUATION/JOB SETTING AS IT RELATES TO THE CPM CONCEPT

Give a summary of your situation/job setting and tell why you decided to apply the CPM concept that you chose. Why did you anticipate that the application of this concept would improve or change your situation?

C. WHAT WERE THE SPECIFIC OBJECTIVES THAT YOU HOPED TO ACHIEVE BY THE APPLICATION?

What were your anticipated end results, by what deadlines, at what cost, etc.? How did you plan to evaluate your outcomes? Which standards would you use to determine whether you achieved what you had intended?

D. DESCRIBE THE APPLICATION OF YOUR CONCEPT

Be detailed in your description of the steps you took to implement your new action. What did you do? Was there staff input which you obtained? Which revisions had to be made? Was there resistance? How did you address it?

E. WHAT WERE THE RESULTS OF THE CONCEPT-APPLICATION?

What were the results of your new action? What evidence do you have for this? How do these results compare with your original objectives described in part C, above?

F. WHAT DID YOU LEARN ABOUT THE CPM CONCEPT THAT YOU APPLIED?

What did you learn from your efforts in applying this concept? What would you do differently in the future? Which other areas in your organization would benefit from the application of this same concept?

III. Confidentiality

All CPM Concept-Application Project Reports become the property of the New Jersey Certified Public Manager Program. To ensure anonymity for others, students should avoid using the real names of people in the work environment described; fictitious names may be substituted.

In some cases, model project reports may be used within the CPM Program as classroom illustrations or recommended for publication in the Journal of Public Management (a new publication of the CPM Program).

IV. Project/Project Report Assistance

Members of the CPM instructional staff are available to consult with you concerning your project and the project report. Appointments can be made by calling your instructor. Consultations can be conducted by telephone or in person.

V. Project Report Submission

Submit TWO copies of your project report to:

Department of Personnel
CPM Program Registrar
CN 318
Trenton, New Jersey 08625

VI. Project Report Evaluation

Project reports will be evaluated by the CPM instructional staff on a basis of ACCEPTED/NOT ACCEPTED.

Project reports not meeting the requirements described (I and II) will be returned to the student for revision as required by the instructor.

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Section 8. EXAMINATIONS

For the Certificate in Supervisory Management, an objective test is given on the afternoon of the last day of each level. The test covers all content covered in the five modules of that level. A typical test will include true/false and multiple choice questions. Only pass/fail grades will be given and a passing grade of at least 70% is required.

Retests and make-up examinations are scheduled periodically to accommodate students who either missed the in-class exam or who failed it previously. The CPM Program Registrar or your instructor may be contacted for scheduled retest dates.

Section 9. ELECTIVE INSTRUCTION REQUIREMENTS

In order to receive a Certificate in Supervisory Management (CSM) at the end of the first three levels of CPM, each student is required to submit documentation of completion of 30 hours of elective instruction. An additional 30 hours are required before receiving the Certified Public Manager (CPM) designation at the end of the sixth level.

The requirement can be satisfied by completion of relevant courses offered by the Department of Personnel; other state, county, or local agencies; local colleges; and universities, as well as private institutions that provide training and education. Generally, all elective courses should be in the area of supervision and management and be supportive of the material offered in the various levels of the CPM Program as detailed in the course outline. Full credit on a contact hour basis is given for courses completed within five years of application to the CPM Program, while half credit is given for courses completed between five and ten years prior to application.

Students may obtain an Elective Instruction Review Application (DPF-495) from their instructor or the Program Registrar. The completed form, with supporting documentation of course content, should be returned to the instructor or sent directly to:

Department of Personnel
CPM Program Registrar
CN 318
Trenton, New Jersey 08625

Section 10. COPYRIGHT AND REPRODUCTION OF MATERIALS

Under no circumstances are any of the Certified Public Manager Program lectures, classroom materials or handouts to be copied or reproduced without written permission from the Program Director.

Section 11. COLLEGE CREDIT

The American Council on Education's Program on Non-Collegiate Sponsored Instruction (PONSI) has recommended the following award of college credits upon successful completion of CPM:

LEVELS I, II, AND III

3 semester hours:	Organizational Behavior	
3 semester hours:	Human Resource Management or Management in the Public Sector	6 UL*

LEVEL IV

3 semester hours:	Public Administration	3 UL/GL*

LEVEL V

3 semester hours:	Introduction to Microcomputers for Managers or Management Information Systems and the Public Sector (Note: not a computer science class)	
2 semester hours:	Public Finance	
1 semester hour:	Administrative Law	6 UL/GL*

LEVEL VI

3 semester hours:	Organizational Development or Organizational Change and Development	3 UL/GL*

* UL = upper-level baccalaureate category
GL = graduate level

Detailed information on how to obtain these credits is available from the Program Registrar.

Section 12. RECOGNITION AND USE OF CERTIFICATION

The designation of Certified Public Manager is a professional credential which is recognized by New Jersey State government and by other state governments in the Certified Public Manager Consortium. As the Consortium grows, the CPM designation will achieve increasing national recognition.

The Department of Personnel urges other State departments, agencies and local jurisdictions to consider the Certificate in Supervisory Management and the Certified Public Manager designation when they are considering supervisors and managers for advancement.

Section 13. CERTIFIED PUBLIC MANAGERS SOCIETY OF NEW JERSEY

Those individuals who acquire the Certificate in Supervisory Management (CSM) or the Certified Public Manager (CPM) designation are encouraged to join the Certified Public Managers Society of New Jersey, which is composed of graduates of the Program.

The Society is a self-governing organization which is dedicated to the furtherance of modern public management techniques. This group sets the standards for retention of the certification and provides opportunities for continuing education. Information regarding the Society may be obtained by writing to:

CPMSNJ
P.O. Box 907
Trenton, NJ 08609-0907

Section 14. GENERAL REQUIREMENTS FOR CERTIFIED PUBLIC MANAGER (CPM) DESIGNATION

In order to receive the Certified Public Manager (CPM) designation, a student must:

- Acquire approval of the agency chief executive officer prior to admission to the Program.
- Have a Certificate in Supervisory Management (CSM) following successful completion of Levels I, II, and III.
- Complete a minimum of five of the six and one-half classes in Level IV, ten of the eleven classes in Level V, and five of the six classes in Level VI.
- Complete required outside-of-class projects for Levels IV, V, and VI.
- Pass a written examination for each of Levels IV, V, and VI.
- Submit documentation of 30 hours of elective instruction (focusing on management areas) completed in addition to the core curriculum for Levels IV, V, and VI and the CSM requirement.

LISTENING COMMITMENT FOR TRAINING

In order for you to get the most out of this training opportunity, the right frame of mind is important in creating the best possible learning environment. Since listening and learning go hand-in-hand, an environment that supports listening in a positive way, where you can become a thinker, prober and, above all, an effective listener, is essential. Listed below are a number of listening skills, behaviors, and attitudes to consider for the roles of the training facilitator and participant in building such an environment. Make a commitment to yourself and others in the group to make the necessary changes to insure maximum benefit from the program.

THE ROLE OF THE TRAINER (FACILITATOR)

Serves as a model listener

Creates a friendly and relaxed atmosphere to put participants at ease and allows them to participate freely

Uses listening techniques with participants such as summarizing, restating, and paraphrasing to show understanding of ideas and feelings.

Shows a sincere interest in participants' suggestions, ideas, comments, questions, and experiences

Is alert and observes participants' nonverbal cues suggesting understanding of content and process

Is aware of the words participants use and clarifies any different meanings those words may have for different people

Listens beyond the words to the feelings of the participants when discussing problems

Asks questions of participants for clarifications and exploration purposes

Tries to be impartial and insures that personal opinions do not prejudice listening

Creates an atmosphere for building trust between self and participants

Allows all sides of an issue to be brought out

Manages the listening environment both physically and psychologically

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THE ROLE OF THE TRAINING PARTICIPANT

Factors Enhancing Listening Success For Positive Learning

Asking questions for understanding and clarification purposes

Listening actively, not passively

Resisting distractions, both mentally and physically

Being attentive; concentrating

Being open to new ideas and concepts

Showing verbally and nonverbally that you are motivated to learn

Separating fact from opinion

Factors Inhibiting Listening Success For Positive Learning

Constantly interrupting others

Dismissing the subject by calling in uninteresting or assuming all topics are equally relevant to your needs

Displaying a teach-me-if-you-can attitude or a know-it-all attitude

Being insensitive to others

Jumping to conclusions or being quick to judge others

Hanging on to your need to be right

Getting overstimulated or emotional about some point, topic, words, etc.

Being an excessive talker

TRANSCENDENCE THEORY: TRAINING ONESELF TO MOVE BEYOND COVERT & OVERT HOSTILITY IN CONFLICT MANAGEMENT BEHAVIORS

By J. William Pfeiffer
Adapted by G. Blanchard

One of the most significant ways in which individuals differ is in their means of managing the dissonance that inevitably occurs in their lives.

Webster's New Collegiate Dictionary defines "dissonance" as "lack of agreement." Or, in music, "harmonically unresolved" or "discord." This is as opposed to, for example "agreement." Or in music, "a harmonious combination," or "concord."

Dissonance, or discord, arises from such sources as:

- conflict (interpersonal and intergroup),
- thwarting of expectations (frustration),
- threats to self-esteem (perceived criticism),
- confrontation with the hostility of others (anger, "fights," quarrels).

All of these conditions have the potential to create emotional disharmony within, and between, us.

This paper explores responses to such dissonance, and suggests a model for conceptualizing growthful and life-enriching responses to it.

A. Level I Response to Dissonance: "Passive-Aggressiveness"/ "Suppression of Hostility"

Dissonance produced by conflict probably is the most prevalent type, and the least easily managed.

The Judeo-Christian ethic of U.S. culture fosters a pattern of passive-aggressive responses. These include: "turning-the-other-cheek," avoiding conflict altogether, and denying the emotional reality of the dissonance. In fact, our Western culture stimulates guilt in individuals who are unable to manage conflict in "a Christian manner." It places a potent moral value on pseudo-acceptance of disagreement, rather than on open expression of hostility toward another.

This response, which appears on the surface to be accepting, is in fact a system-exhausting suppression of hostility. For the purposes of the transcendence model, this state of passive-aggressive response to dissonance is labeled "Level I" and is regarded as the most basic level.

B. Level II Response to Dissonance: "Overt Expression of Hostility"

Most individuals enter a human relations training group in the above condition of passive-aggressiveness (Level 1). Frequently, the goal of the training is centered around freeing members from the constrictions of their Level I responses, so that they may learn the ability to express hostility overtly.

For most group members, this is a difficult step and a true achievement if they find that they are able to respond openly to conflict. For most individuals it means overcoming an ingrained behavior pattern. Doing so frequently produces an exhilirating sense of freedom. Much of the euphoria ("feeling of elation") is a result of the release from the discomfort of suppressed hostility.

C. Level III Response to Dissonance: "Introspective Sharing."

It is appropriate that the above, Level II, goal of open expression of emotion should be sought after. Progressing from a Level I response to a Level II response is a meaningful and necessary step in an individual opening himself to more self-actualizing behavior.

There is, however, the potential for an individual to transcend ("to rise above or go beyond") Level II to a more constructive response pattern, Level III--Introspective Sharing. At this level, the individual is able to be aware of, but not dominated by, his anger/reaction. He can "share" the fact that he is upset, as directly as he deems appropriate. And he can "share" his concerns, and invite others to share theirs with him. His goal is to produce a better mutual understanding, and---if possible---a resolution of the conflict or disagreement. He will have "moved beyond" disagreement to agreement; he will have "transcended" hostility.

Illustration of the Levels

To illustrate the three levels of response, we will examine a situation which has high potential for conflict-produced dissonance: a circumstance involving a lack of punctuality.

If I make an appointment with someone for 3:00 pm and he arrives at 3:30, I have, according to the transcendence model, three response choices:

Level I Response - The conventional response, definitely Level I, is for me to attempt not to show my anger. I may even enter into the "excuse" interaction by being supportive, e.g., reasuring the late comer that I "understand" that "those things" happen or that I have had the same experience myself. However, the hostility which was building up from 3:01 until 3:29 cannot be dissipated by "forgiving" the lateness. It is, at best, suppressed.

Level II Response - If I respond to the situation at Level II, I will be openly angry, vent my feelings, and clear my system of the hostility. However, my Level II response does not take the other person's needs into account, and it does not help me understand why the lack of punctuality has upset me so much. My system can be emptied of anger, but I have nothing positive with which to replace it. Moreover, I have probable made the person who has come late angry and/or defensive.

He must in turn choose a response. His choice may be Level I, to suppress his anger, in which case it will be difficult for him to function smoothly with me. He may also choose to vent his hostility. What can result is that a potentially important issue for the parties involved will be reduced to "blowing off steam," or displaying anger.

Level III Response - Anger is a secondary emotion; it is impotent in that it can supply no data other than the empirical fact of emotional upset. It is imperative that the anger be "turned over" to reveal the primary emotion behind it.

In order to find the real issues and deal with them in a productive way, I need to respond on Level III - introspective sharing. If I can keep from suppressing my hostility and can further resist the temptation to dissipate my hostility by becoming openly angry, then, by sharing the fact that I am upset, we can explore together what my concerns really are.

What may be revealed by our exchange is that I interpret the other person's lateness as a message from him that I am not a valuable person, not worthwhile and not important. For me, this is a highly threatening implication which may be alleviated by sharing my concerns about my relative worth. The result may be more than just a resolution of the conflict; it may be a growthful resolution.

SUMMARY

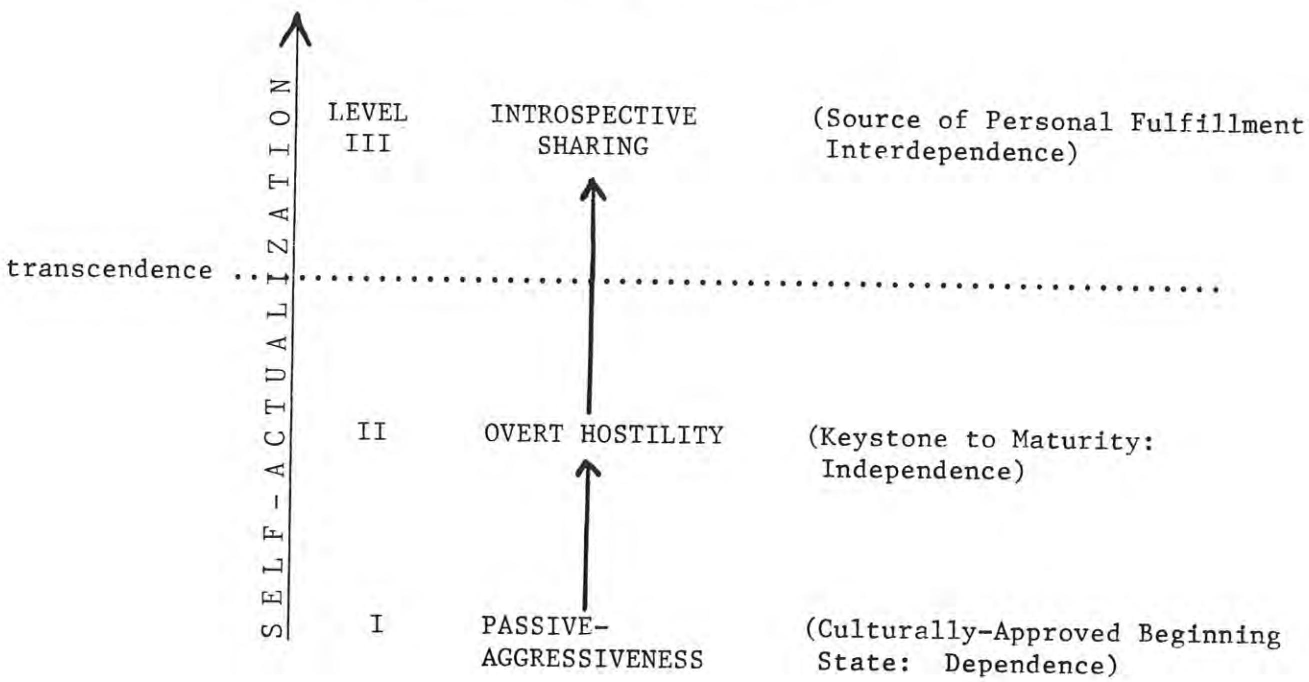
If I can begin to respond to dissonance with introspective sharing, then I am no longer limited to Level I responses. Revelation of hostile feelings is no longer guilt-inducing or threatening to me.

Furthermore, I have transcended the need for Level II responses, although I have learned that I need no longer fear releasing the natural hostility I feel from conflict-engendered dissonance. More importantly, I know that I am no longer uncomfortable about telling others "where I am," emotionally, when I am feeling hostile.

However, I cannot go from responding at Level I to responding at Level III without first developing the ability to respond at Level II. A Level I person is not able to reveal to another that the hostile feelings exist. He may, in fact, not be able to admit their existence to himself; there is no way to share feelings which, in one way or another, are being denied. He must learn to recognize, acknowledge, and express his feelings. Only by learning the intermediate ability is he able to transcend to the more constructive level of response, as indicated in the following Figure 1.

FIGURE 1

ACCOMMODATION OF DISSONANCE



9/21/87

CPM - through educational activities, become more efficient, effective and just organizational leaders

Roles of a Manager - who is client/customer?

① Staff
② Operating Units
③ Traveling Public.

① Planning.
② Organizing
③ Staffing - hiring
④ Controlling
⑤ Directing.
⑥ Budgeting
⑦ Evaluating.

MBO vs. MBP
Mgmt by objective vs Mgmt by ~~[illegible]~~ Procedure or Activity

when you do work:
Results & Client Satisfaction.

Effectiveness vs. Efficiency
Do the right thing vs Doing things right.

Skills - Human
- Technical
- Conceptual.

Critical shift - from doer to supervisor of doers.

Service oriented
① Client is participant
② Production/consumption occurs simultaneously
③ Service varies critically in terms of time.
④ Client location dictates production location
⑤ Labor intensive
⑥ Services intangible & difficult to measure.

Transformation
Conversion Process

Inputs — Conversions — Outputs

money
People

Feedback
trans.

Goods - production
Services -

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Improving New Jersey Government Performance Through Education and Training

Module 1 - INTRODUCTION TO THE CPM PROGRAM AND THE CHALLENGE OF SUPERVISING (MANAGING/LEADING)

Behavioral Objectives:

At the end of this session, in accordance with information presented and practice experienced, you will be able to:

1. Describe what "critical shift" means, in terms of the worker-supervisor relationship.
2. Identify the major "types" of climate/ideology/values of organizations within which leaders operate. task, role, self, power.
3. Identify the basic parts of the transformation system that make up the "content" of the leader's work. Relate it to the basic idea of MBO. mgm't by objective. inputs, conversion, outputs
4. Describe what changes have occurred in the U.S. economy which relate to the terms manufacturing/production/operations management. Inputs, conversions, outputs.
5. Describe how Production Management differs from Operations Management, in terms of output and production process.
6. Identify two of the key characteristics of service organizations. - client is participant, client location dictates production location.
7. Explain how "effectiveness" differs from "efficiency." right thing, this right
8. Define "productivity" and "service."
9. Describe two of the sub-functions centrally involved in managing the operations system.

Practicum Suggestions:

1. Observe briefly but carefully someone in a leadership position. Notice how he/she has managed the "critical shift." Report specific examples of your conclusion; make recommendations for improvement.
2. chart. Draw a one-page diagram of your transformation (P/OM) process at your job. Identify key elements per the instructor's illustration. Note problems, opportunities.
3. Analyze the efficiency/effectiveness/productivity of your operation. Be specific. Make recommendations for improvement.
4. Give your staff the Ideology Questionnaire. Score results with them (minimum = 3 staff results). Note pattern. Discuss. Report results, implications for your supervision.
5. Other. Propose a practicum of your own design and secure instructor's approval to proceed.

DIAGNOSING ORGANIZATION IDEOLOGY EXERCISE

The following are brief definitions of the four organization ideologies.

Power Orientation

An organization that is power-oriented, attempts to dominate its environment and vanguish all opposition. Within this organization, those who are powerful strive to maintain absolute control over subordinates.

Role Orientation

An organization, that is role-oriented, aspires to be as rational and orderly as possible. There is a preoccupation with legality, legitimacy, and responsibility. Competition and conflict are regulated or replaced by agreements, rules and procedures.

Task Orientation

In the organization that is task-oriented, achievement of a super-ordinate goal is the highest value. The important thing is that the organization's structure, functions, and activities are all evaluated in terms of their contribution to the super-ordinate goal.

Self-Orientation

The self-oriented organization exists primarily to serve the needs of its members. The organization is a device through which the members can meet needs that they could not otherwise satisfy by themselves.

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Module 2 - EFFECTIVE COMMUNICATION

Behavioral Objectives:

At the end of this session, in accordance with information presented and practice experienced, you will be able to:

1. Operationally define communication.
2. Describe the components of communication.
3. Describe the six steps in the speaker-listener exchange model.
4. Describe the role of effective communication in your job situation.
5. Identify at least ten of the most common barriers to communication.
6. Name and demonstrate eight ways to overcome communication barriers.
7. Describe and illustrate three behavioral styles and discuss the payoffs and penalties of each in the communication process.

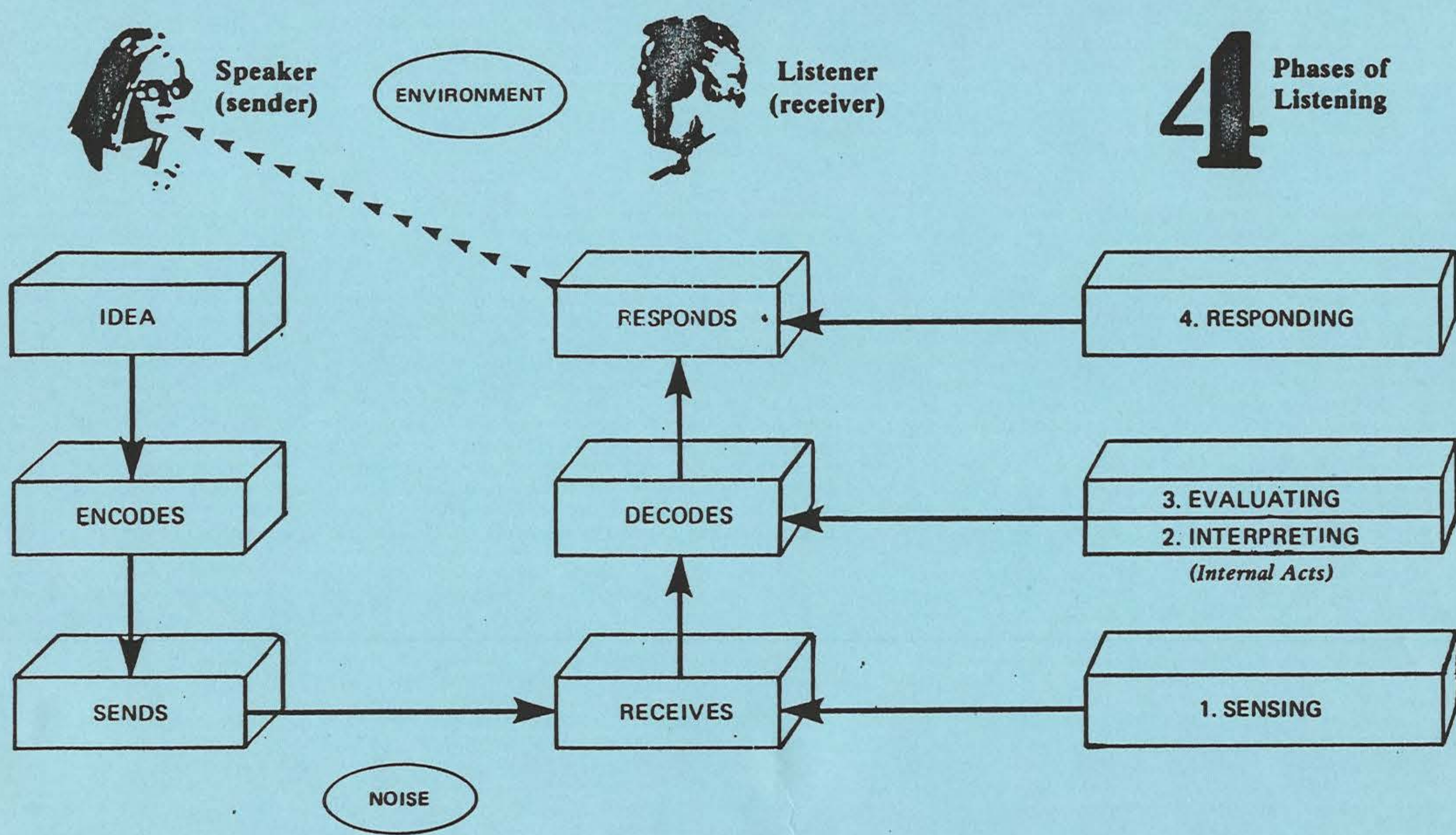
Practicum Suggestions:

1. Find a situation in which you can use reflecting or following skills. Watch for changes in the other person's attitude, body language, and verbal mode. How did you feel during and after the process? Report changes in the other person during the interaction and in the days following.
2. Survey your staff on their assessment of your listening skills. Compare with your own self-assessment. Report on conclusions and any action plans you may have.
3. Observe the communication style of one or two people you work with. Choose one with whom you have difficulty communicating and apply the techniques discussed in class in order to improve the quality of your communication.
4. Identify an area you wish to improve in your communication skills. Develop a plan which you can begin to implement during this week. Report on results and responses (yours and others') to the change.
5. List barriers of Effective communication
6. List assertive, submissive, aggressive people.
7. Survey office for communicating symbols.

EXERCISE: NONVERBAL COMMUNICATION

OBSERVED	SENSED/ INTUITED	CONCLUDED

COMMUNICATION MODEL – SPEAKER/LISTENER EXCHANGE



*Adapted from Stiel, L.K., Barker, L.L., and Watson, K.W., Effective Listening: Key To Your Success. Reading, M.A., Addison-Wesley Publishing Co., 1981

LISTENING

It is helpful to note the distinction between hearing and listening. Hearing is a word used to describe the physiological sensory processes by which auditory sensations are received by the ears and transmitted to the brain. Listening, on the other hand, refers to a more complex psychological procedure involving interpreting and understanding the significance of the sensory experience. In other words, I can hear what another person is saying without really listening to him or her.

The distinction between merely hearing and really listening is deeply embedded in our language. The word listen is derived form two Anglo-Saxon words. One word is hlystan, which means "hearing." The other is hlosnian, which means "to wait in suspense." Listening, then, is the combination of hearing what the other person says and a suspenseful waiting, an intense psychological involvement with the other.

RULES FOR GIVING FEEDBACK

1. Focus feedback on behavior, rather than on the person. It is important that you refer to what a person does, rather than comment on what you imagine he is. To focus on behavior use adverbs which relate to actions, rather than adjectives which relate to qualities when referring to a person. Thus you might say a person "talked considerably in this meeting," rather than that this person "is a loudmouth."

2. Focus feedback on observations rather than inferences. Observations refer to what you can see or hear in the behavior of another person, while inferences refer to interpretations and conclusions which you make from what you see or hear. In a sense, inferences or conclusions about a person contaminate your observations, thus clouding the feedback for another person. When inferences or conclusions are shared, and it may be valuable to do this, it is important that they be so identified.

3. Focus feedback on description rather than judgment. The effort to describe represents a process for reporting what occurred, while judgment refers to an evaluation in terms of good or bad, right or wrong, nice or not nice. Judgments arise out of a personal frame of reference or value system, whereas description generally represents neutral reporting.

4. Focus feedback on descriptions of behavior which are expressed in terms of "more or less" rather than in terms of "either-or." When you use "more or less" terminology, it implies that the behavior falls on a continuum. This means you are stressing quantity, which is objective and measurable, rather than quality, which is subjective and judgmental. Thus participation by a person may fall on a continuum from low participation to high participation, rather than "good" or "bad" participation. If you don't think in terms of more or less and the use of a continuous scale of measurement, you will be trapped into thinking in categories, which may not reflect reality.

5. Focus feedback on behavior related to a specific situation, preferably to the "here and now," rather than on behavior in the abstract, placing it in the "there and then." What you and I do is always related in some way to time and place. We increase our understanding of behavior by keeping it tied to time and place. When observations or reactions occur, feedback will be most meaningful if you give it as soon as it is appropriate to do so.

6. Focus feedback on the sharing of ideas and information rather than on giving advice. By sharing ideas and information you leave the other person free to decide for himself how to use the ideas and information in light of his own goals. Insofar as you tell him what to do, you take away his freedom to determine for himself what is for him the most appropriate course of action.

7. Focus feedback on the exploration of alternatives, rather than on answers or solutions. The more we can focus on a variety of procedures and means for accomplishing a particular goal, the less likely we are to accept premature answers or solutions which may or may not fit a particular problem. Many of us have a collection of answers and solutions for which there are no problems.

8. Focus feedback on the value it may have to the receiver, not on the value of "release" that it provides the person giving the feedback. The feedback provided should serve the needs of the person getting the feedback, rather than the needs of the giver. Help and feedback need to be given and heard as an offer, not as something you force upon another person.

9. Focus feedback on the amount of information that the person receiving it can use, rather than on the amount that you have which you might like to give. If you overload a person with feedback, it reduces the possibility that he may use what he receives effectively. When you give more than he can use, you are satisfying some need in yourself rather than helping the other person.

10. Focus feedback on time and place so that personal data can be shared at appropriate times. Because receiving and using personal feedback involves many possible emotional reactions, it is important for you to be sensitive to when it is appropriate to give feedback. Excellent feedback presented at an inappropriate time may do more harm than good. In short, the giving (and receiving) of feedback requires courage, skill, understanding, and respect for yourself and others.

11. Focus feedback on <u>what</u> is said rather than on <u>why</u> it is said. When you relate feedback to the what, how, when, and where of what is said, you relate it to observable characteristics. If you relate feedback to why things are said, you go from the observable to the preferred, bringing up questions of "motive" or "content."

Johnson, David W. <u>Reaching Out</u>. Prentice Hall, Inc., 1972, pp. 16-17.

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NONVERBAL BARRIERS TO COMMUNICATION

1. ____

____

2. ____

____

3. ____

____

4. ____

____

5. ____

____

6. ____

____

7. ____

____

8. ____

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9. ____

____

10. ____

____

VERBAL BARRIERS TO COMMUNICATION

JUDGING

1. Criticizing
2. Name-calling
3. Diagnosing
4. Praising Evaluatively

SENDING SOLUTIONS

5. Ordering
6. Threatening
7. Moralizing
8. Excessive/Inappropriate Questioning
9. Advising

AVOIDING THE OTHER'S CONCERNS

10. Diverting
11. Logical Argument
12. Reassuring

Barriers to Communication (Refraction)

- Preoccupation
- emotional blocks
- Hostility
- charisma
- Past Experiences
- Hidden Agendas
- Inarticulatedness
- stereotyping
- Physical Environment
- Mindwandering
- Defensiveness
- Relationships
- Status.

Source: Thomas Gordon, Parent Effectiveness Training (New York: Peter H. Wyden, 1970).

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Listening on the Job: Application to Management

In short sentences or phrases, describe which ways effective listening could contribute to the supervisor's/manager's doing a more effective job.

1.

2.

3.

4.

5.

6.

7.

8.

9.

10.

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WAYS TO OVERCOME BARRIERS TO COMMUNICATION

LISTENING SKILL CLUSTERS	SPECIFIC SKILLS
Attending Skills	. A Posture of Involvement . Appropriate Body Motion . Eye Contact . Nondistracting Environment
Following Skills	. Door Openers . Minimal Encourages . Infrequent Questions . Attentive Silence
Reflecting Skills	. Paraphrasing . Reflecting Feelings . Reflecting Meanings (Tying Feelings to Content) . Summative Reflections

ADDITIONAL TECHNIQUES:

LISTENING TECHNIQUES

TYPE	PURPOSE	EXAMPLE
A. NEUTRAL		
Use non-committal words. Don't agree or disagree with person.	1. To convey idea of interest.	1. "I see."
	2. To keep person talking.	2. "Uh-huh"
		3. "That's very interesting."
		4. "I understand."
B. EXPLORATORY		
1. Who 2. What 3. Where 4. Why 5. When	1. To gather additional facts.	1. "Who was near the machine at the time of the accident?"
	2. To help the person explore all sides of a problem.	2. "What do you feel the real problem is?"
C. RESTATEMENT		
<u>Restate</u> all or part of person's last sentence, or basic <u>idea</u>.	1. To show the person you are listening and understanding what is being said.	1. "If I understand, your idea is . . . ."
	2. To encourage the person to talk.	2. "This is your decision and the reasons are . . . ."

TYPE	PURPOSE	EXAMPLE
D. REFLECTIVE FEELINGS		
Similar to restatement, but you reflect the feeling the speaker expressed.	1. To show you understand <u>how</u> the speaker feels about what is being said. 2. To encourage the person to explore [redacted] problem.	1. "You feel angry about that." 2. "It was a shocking thing as you saw it." 3. "You felt you didn't get a fair shake."
E. SUMMARIZING		
Add up the ideas and/or feelings and restate and/or reflect.	1. To help another individual pull his or her thinking together. 2. To use as a checkpoint for further discussion. 3. To bring problems into [redacted].	1. "These are the key ideas you expressed." 2. "If I understand how you feel about the situation. . . ."

TYPE	PURPOSE	EXAMPLE
F. PARAPHRASING		
Involves more active participation on the listener's part. The goal is to find the essence of what is said, rather than simply to mirror the content of words.	1. It conveys to the speaker that you are with him/her and are trying to understand what is being said. 2. It crystallizes a speaker's comments by making them concise, thus helping to give better direction to the communication. 3. It provides a check on the accuracy of the perceptions of the listener.	1. Speaker: "I don't know about her. One moment she's nice as can be and the next minute, she is a real tyrant." Listener: "She's inconsistent then."
G. NONVERBAL CUES		
Responding to non-verbal cues is another way of showing understanding that involves observing the cue, and either making a comment or asking questions to clarify meaning.	1. To clarify meaning of a non-verbal reaction. 2. To ensure that reactions and words convey the same message. 3. To get more information.	1. "You have a look of confusion on your face." 2. "I know you said you feel fine, but you look like you're in pain."

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Important for test.

EXERCISE: IDENTIFYING BEHAVIOR MODES

	BEHAVIOR		
	Submissive	Assertive	Aggressive
EXAMPLE: In a packed theater, the people behind you keep talking in a fairly loud voice, distracting you from the plot and detracting from your enjoyment of the movie. The theater is so crowded that you cannot change seats.			
Response A You say nothing and suffer in silence.	X		
Response B You turn around and snarl at them, "Don't you have any respect for others? If you don't shut up immediately, I'll call the manager and have him throw you out of the theater."			X
Response C You turn around, look directly at the talkers, and say, "Your talking is distracting from my enjoyment of the movie."		X	
SITUATION #1 A school principal makes frequent announcements over the loudspeaker system and interrupts Mr. Jones' classroom unnecessarily.			
Response A Mr. Jones says, "When you make announcements over the loudspkeaker system in the midst of the period when I am teaching, I feel frustrated because my lessons are interrupted."			
Response B Mr. Jones is furious, thinking how insensitive the principal is, but keeps his feelings to himself.			
Response C Mr. Jones says to the principal, "What kind of jerk are			

Submissive Assertive Aggressive

you, sending messages over the speaker system at all times of the day? Can't you get organized enough to do them at one time? If you were much of an educator, you'd mimeograph the stupid announcements!"

SITUATION #2

Carlos Santos is often physically and emotionally drained when he returns home from his day at work. As soon as he comes into the house, his wife tells him about all the trouble she's had during the day. Carlos needs a breather. He doesn't want to listen to anyone for a few minutes. He needs to center himself first.

Response A

Carlos is seething inside while he half-listens to her words. Sometimes he glances at the newspaper while she is talking, hoping she will take the hint. All the time he thinks, "Boy, is she selfish. If she loved me, she would know how I feel right now."

Response B

Carlos storms around the room screaming at her, "You are the most selfish person I've ever known. All I want is a few minutes peace and quiet when I get home from work. But what do I get? Your depressing babble. I'm sick of it and I'm sick of you."

Response C

Carlos immediately tells Mrs. Santos how tired he is and how much he needs a period of quiet before dinner. He says that unless there is something very pressing, he would like to wait until after dinner to hear about the events of her day, adding that he would also like to tell her about his day.

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Roleplay Exercise

Instructions: Listening Techniques to be practiced in the first Part of this exercise are Restating, Paraphrasing, and Summarizing. Each speaker will select a communication situation dealing with content only.

* Divide into 3 Roles, A, B, and C

First Situation

1. Participant A - Employee (Speaker)
2. Participant B - Supervisor (Listener)
3. Participant C - Observer
   - Participant A - Employee (Speaker) - selects a communication situation from the list handed out and is given a few minutes to prepare, then begins communication lasting 5-7 minutes.
   - Participant B - Supervisor (Listener) - uses appropriate listening techniques for feedback.
   - Participant C - Observer - evaluates the communication for about 5 minutes after it is over.

* Switch Roles

Second Situation

1. Participant B - Employee (Speaker)
2. Participant C - Supervisor (Listener)
3. Participant A - Observer

* Switch Roles

Third Situation

1. Participant C - Employer (Speaker)
2. Participant A - Supervisor (Listener)
3. Participant B - Observer

COMMUNICATIONS SITUATIONS FOR CONTENT

Instructions: The employee (speaker) will select one of the communication situations for content and initiate a discussion using imagination and/or experience around one of the following:

* Bring the supervisor up to date on an assigned project for which you are responsible.
* Supply the supervisor with information about a new policy.
* Report on a workshop you recently attended.
* Tell the supervisor how to improve a work procedure -- why it should be improved, when and how.
* Give the supervisor directions on how to get to the office or how to get from the office to another location.
* Give the supervisor a number of reasons why you should be promoted to the next position.
* State reasons for the need to change job responsibilities.
* Give the supervisor an overview of your ideas on how to improve the work area.

A - employee (speaker)
B - listener
C. observer.

I proud when you do this.
feeling description

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OBSERVER'S ROLE FOR CONTENT

Restating, Paraphrasing, Summarizing

* Did the listener use restating to show understanding or encourage the speaker to continue?

* Did the listener use paraphrasing to make the speaker's comments more concise?

* Was paraphrasing used to clarify what the speaker had just said?

* Was summarizing used by the listener to highlight what had been covered in the middle or at the end of the conversation?

Paraphrasing - makes.

Roleplay Exercise

Instructions: Listening techniques to be practiced in the second part of this exercise are Reflective Feelings, Questioning, and Nonverbal Cues. Each Speaker will select a communication situation dealing with emotional content only.

* Divide into 3 Roles, A, B, and C

First Situation

1. Participant A - Employee (Speaker)
2. Participant B - Supervisor (Listener)
3. Participant C - Observer
   - Participant A - Employee (Speaker) - selects a communication situation from the list handed out and is given a few minutes to prepare, then begins communication lasting 5-7 minutes.
   - Participant B - Supervisor (Listener) - uses appropriate listening techniques for feedback.
   - Participant C - Observer - evaluates the communication for about 5 minutes after it is over.

* Switch Roles

Second Situation

1. Participant B - Employee (Speaker)
2. Participant C - Supervisor (Listener)
3. Participant A - Observer

* Switch Roles

Third Situation

1. Participant C - Employer (Speaker)
2. Participant A - Supervisor (Listener)
3. Participant B - Observer

COMMUNICATION SITUATIONS FOR EMOTIONAL CONTENT

Instructions: The employee (speaker) will select one of the communication situations for emotional content and initiate a discussion using imagination and/or experience around one of the following situations.

Note: These situations lend themselves more to problem solving and decision making. The participant is asked to play the role dramatically, stressing the emotion that conveys the feelings about a problem.

* Employee complaining about work being distributed unfairly

* Employee complaining about not being treated fairly on a performance appraisal evaluation

* Employee not having enough time to work on a big project

* No training opportunities available

* No promotional opportunities available or being passed over for a promotion

* Employee no longer willing to work overtime

* Employee feeling that there is lack of trust and cooperation between himself/herself and other employees

* Employee feeling the need to cut down on paperwork (entirely too much paperwork)

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OBSERVER'S ROLE FOR EMOTIONAL CONTENT

Possible Areas of Concern or Questions on Which the Observer Could Focus
(Reflective, Nonverbal and Questioning)

* Did the listener listen for feeling?
* Did the listener respond by telling the speaker what was observed?
* Did the listener show empathy?
* Did the listener observe nonverbal cues and respond to them in any way?
* Did the listener use direct open questions to assure receiving the proper message?
* Did the listener use any of the secondary question techniques such as encouraging, clarify, restating or reflecting questions?
* Did the listener lower the tension level of the speaker by demonstrating understanding of the message or the problem?

9/28/87

Tips for verbal presentations

- use centering techniques
- refrain nervousness
- look for kind eyes
- use notes - not script.

FACTORS AFFECTING LISTENING ABILITY:

The Message and the Occasion

Ourselves

Our Perception of the Other Person

The Message and the Occasion

A number of distractions occur both in the message itself and in the situation in which it is received:

1. Factual distractions occur because we tend to listen for facts instead of ideas.

2. Semantic distractions occur when someone uses a word or phrase differently from the way we do, or uses one to which we react emotionally.

3. Mental distractions occur when we engage in intrapersonal communication with ourselves while talking with others.

4. Physical distractions include all the stimuli in the environment that interfere with our focusing on the other person.

Ourselves

Another set of factors that interfere with listening is related to ourselves. It suggests that we have developed regard for ourselves, but that we have failed to develop the same feeling toward others. A number of factors may account for a person's focusing on himself/herself rather than on the other person:

1. Defensiveness occurs when people feel threatened and that they must defend themselves.

2. Experiential superiority is expressed when people who have lived through a variety of experiences behave condescendingly toward people with less experience.

3. Egocentrism is the tendency to view oneself as the center of any exchange or activity.

Our Perception of the Other Person

Preconceived attitudes toward status and stereotyping interfere with our ability to listen.

1. Status interferes when, we easily accept what other people say because of their status, rather than listen carefully and critically.

2. Stereotyping affects our ability to listen when another person belongs to a group we respect or don't respect.

CHARACTERISTICS OF LISTENING STAGES

SENSING CHARACTERISTICS

-Focuses all attention on speaker.

-Provides an appropriate listening setting in physical/social terms.

-Tries to prevent outside interruptions.

-Allows others adequate air time before questions or comments.

-Avoids wandering mentally or getting sidetracked.

-Avoids formulating responses while others are speaking.

-Refrains from taking overly detailed notes.

-Says, if necessary, "I don't hear that" or "Could you repeat."

-Uses appropriate non-verbal behavior to indicate message reception (e.g., eye contact, gestures, "uh-huh," nodding, facial expressions, etc.)

-Doesn't let speaker's style, age, positon, sex, looks, character, positive or negative support, etc. affect sensing.

INTERPRETING CHARACTERISTICS

-Determines the broad intent of speaker (small talk, self expression, information, persuasion).

-Considers why this topic, at this time, at this place? Asks self, what does the speaker want? (Specific intent)

-Tries to minimize impact of speaker's age, position, sex, looks, character, etc. on understanding.

-Asks questions or rephrases to promote understanding and clarification.

LISTENING SKILLS SELF-EVALUATION

Directions: Respond to each of the following statements indicating the strength of your agreement or disagreement, then calculate your score.

1.	I go into a conversation with a specific listening objective.	Most of the time	Some of the time	Almost never
2.	I enjoy listening to others talk.	Most of the time	Some of the time	Almost never
3.	I encourage others to talk.	Most of the time	Some of the time	Almost never
4.	I listen even when I personally don't like the speaker.	Most of the time	Some of the time	Almost never
5.	The quality of my listening is not affected by the age or sex of the speaker.	Most of the time	Some of the time	Almost never
6.	The quality of my listening is not affected by the voice quality or accent of the speaker.	Most of the time	Some of the time	Almost never
7.	I give my full attention to what the speaker is saying rather than thinking about what I am going to say in response.	Most of the time	Some of the time	Almost never
8.	I withhold judgment on an idea until I've heard the speaker explain it completely.	Most of the time	Some of the time	Almost never
9.	I stop what I am doing and turn my full attention to the speaker.	Most of the time	Some of the time	Almost never
10.	I use eye contact, verbal signals, and body language to let the speaker know I'm "tuned in."	Most of the time	Some of the time	Almost never
11.	I avoid finishing sentences for others-- even when they are slow speakers.	Most of the time	Some of the time	Almost never
12.	I ignore most distractions around me so that I can focus on the speaker.	Most of the time	Some of the time	Almost never

13. I try to "listen between the lines" to understand the speaker's full meaning.	Most of the time	Some of the time	Almost never
14. I restate the speaker's thoughts and ask if I've understood correctly.	Most of the time	Some of the time	Almost never
15. I ask questions to get the speaker to clarify or enlarge on what he or she has said.	Most of the time	Some of the time	Almost never
16. In emotional situations I accept the speaker's right to feel however he or she feels.	Most of the time	Some of the time	Almost never
17. I pause before responding to an emotionally charged statement.	Most of the time	Some of the time	Almost never
18. I use specific techniques to improve my short- and long-term memory.	Most of the time	Some of the time	Almost never
19. I make use of the difference between the speed at which I think and the rate at which the speaker talks to reinforce the message rather than to day-dream or think of unrelated matters.	Most of the time	Some of the time	Almost never
20. I listen more intensely when using the phone than in face-to-face conversation.	Most of the time	Some of the time	Almost never

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ASSESSING LISTENING AND RESPONDING SKILLS

Directions: How well does this person listen and respond? Read each statement listed below. Decide how often this person uses each skill and circle the appropriate response.

Listening and Responding Skills	Frequency of Use		
1. Pays attention to what is being said.	Most of the time	Some of the time	Almost never
2. Hears messages spoken at normal conversational level.	Most of the time	Some of the time	Almost never
3. Understands special terms used on the job.	Most of the time	Some of the time	Almost never
4. Comprehends messages accurately.	Most of the time	Some of the time	Almost never
5. Makes intelligent inferences about speaker's real purpose.	Most of the time	Some of the time	Almost never
6. Builds creatively upon the the ideas of others.	Most of the time	Some of the time	Almost never
7. Expresses differences constructively.	Most of the time	Some of the time	Almost never
8. Listens well and responds constructively in meetings.	Most of the time	Some of the time	Almost never
9. Helps others resolve their disputes constructively.	Most of the time	Some of the time	Almost never
10. Uses listening skills to get information needed to increase power and influence.	Most of the time	Some of the time	Almost never
11. Receives positive and negative feedback maturely.	Most of the time	Some of the time	Almost never
12. Knows when it is appropriate to listen empathetically.	Most of the time	Some of the time	Almost never
13. Withholds judgment when other person is speaking about important personal concerns.	Most of the time	Some of the time	Almost never

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14.	Senses with insight what is felt, but not spoken.	Most of the time	Some of the time	Almost never
15.	Responds with supportive acceptance when person is speaking about important personal concerns.	Most of the time	Some of the time	Almost never

Module 3 - MOTIVATION

Behavioral Objectives:

At the end of the session, in accordance with information presented and practice experienced, you will be able to:

1. Define motivation. Maslow, Herzberg

2. Explain how motivation relates to an individual's performance.

3. Describe the role of the manager/leader in motivation.

4. Describe and apply six theories of motivation. process content reinforcement

5. Distinguish and give examples of the differences between transactional and tranformational leadership.

Practicums Suggestions:

1. Ask two or three employees (individually) to tell you of three to five job-related experiences that made them feel satisfied or particularly good. Also, have them tell you what effects these experiences had on their performance. Report what you learned and how it relates to the motivational theories discussed in class.

2. Have several employees individually rank the factors listed on the Motivational Factors Survey in order of priority, number 1 representing what they think is most important to them. Discuss the results of the survey with each employee to understand the reasons for the selections made.

3. Create an opportunity to be a transformational leader. Report to the group what you did and how it was transformational.

MOTIVATIONAL FACTORS SURVEY

	Factor Description	Ranking
1.	Recognition: Receiving acknowledgement from peers, supervisors, and/or subordinates for good work performance.	1.______
2.	Pay: A wage that not only covers normal living expenses but provides additional funds for certain luxury items.	2.______
3.	Sense of Achievement: The feelings associated with successful completion of a job, finding solutions to different problems or seeing the results of one's work.	3.______
4.	Supervision: Working for a supervisor who is competent in doing his or her job and who looks out for the welfare of his or her subordinates.	4.______
5.	Advancement: The opportunity for advancement or promotion based on ability.	5.______
6.	Job Itself: Having a job that is interesting, is challenging, and provides for substantial variety and autonomy.	6.______
7.	Job Security: Feeling good about job continuity within your agency.	7.______
8.	Working Conditions: Safe and attractive conditions for doing work.	8.______
9.	Fringe Benefits: A substantial fringe benefits package covering such aspects as health insurance.	9.______
10.	Personal Development: The opportunity to develop and refine new skills and abilities.	10.______

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5.	Advancement: The opportunity for advancement or promotion based on ability.	5.______
6.	Job Itself: Having a job that is interesting, is challenging, and provides for substantial variety and autonomy.	6.______
7.	Job Security: Feeling good about job continuity within your agency.	7.______
8.	Working Conditions: Safe and attractive conditions for doing work.	8.______
9.	Fringe Benefits: A substantial fringe benefits package covering such aspects as health insurance.	9.______
10.	Personal Development: The opportunity to develop and refine new skills and abilities.	10.______

MOTIVATION THEORIES

Content Theories - Offer ways to profile or analyze individuals to identify their needs (physiological/ psychological)

Maslow

Aldefer

McClelland

Process Theories - Address thought processes through which individuals give meaning to rewards and allow them to influence behavior.

Equity Theory

Expectancy Theory

Goal Setting Theory

Reinforcement Theory - Examines how people learn patterns of behavior based upon external or environmental reinforcements.

B.F.Skinner

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Princeton University
Woodrow Wilson School of Public Policy and Economics
Oct. 1987

THINGS PEOPLE MAY WANT FROM WORK

Maslow

Needs	What a Person Wants
Higher-order Needs:	
Self-actualization	Creative and challenging work Particpation in decision-making Flexibility and autonomy
Esteem	Promotion to higher-status job Praise and recognition from supervisor High-performance evaluation and merit-pay increase
Low-order Needs:	
Social	Friendly co-workers Sponsored social activities on and off the job Compatible supervisor
Safety	Safe working conditions Job security Good base salary/wages and fringe benefits
Physiological	Food and water Comfort and shelter from weather Minimum salary/wages

Herzberg

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SUPERVISORY ATTITUDES: The X-Y SCALE

____
NAME

____
GROUP

Part I

Directions: The following are various types of behavior in which a supervisor may engage in relation to subordinates. Read each item carefully and then put a check mark in one of the columns to indicate what you would do.

If I were the supervisor, I would:	Make a Great Effort to Do This	Tend to Do This	Tend to Avoid Doing This	Make a Great Effort to Avoid This
1. Closely supervise my subordinates in order to get better work from them.	_____	_____	_____	_____
2. Set the goals and objectives for my subordinates and sell them on the merits of my plans.	_____	_____	_____	_____
3. Set up controls to assure that my subordinates are getting the job done.	_____	_____	_____	_____
4. Encourage my subordinates to set their own goals and objectives.	_____	_____	_____	_____
5. Make sure that my subordinates' work is planned out for them.	_____	_____	_____	_____
6. Check with my subordinates daily to see if they need any help.	_____	_____	_____	_____

If I were the supervisor, I would:	Make a Great Effort to Do This	Tend to Do This	Tend to Avoid Doing This	Make a Great Effort to Avoid this
7. Step in as soon as reports indicate that the job is slipping.	______	______	______	______
8. Push my people to meet schedules, if necessary.	______	______	______	______
9. Have frequent meetings to keep in touch with what is going on.	______	______	______	______
10. Allow subordinates to make important decisions.	______	______	______	______

Part II

Directions: Read the description of the two theories of leadership below. Think about your own attitudes toward subordinates and locate on the scale below where you think you are in relation to these sets of assumptions.

MacGregor

THEORY X ASSUMPTIONS

1. The average human being has an inherent dislike of work and will avoid it if he can.

2. Because of this human characteristic of dislike for work, most people must be coerced, controlled, directed, and threatened with punishment to get them to put forth adequate effort toward the achievement of organizational objectives.

3. The average human being prefers to be directed, wishes to avoid responsibility, has relatively little ambition, and wants security above all.

THEORY Y ASSUMPTIONS

1. The expenditure of physical and mental effort in work is as natural as play or rest.

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2. External control and the threat of punishment are not the only means of bringing about effort toward organizational objectives.

3. The average human being learns under proper conditions not only to accept, but also to seek, responsibility.

4. The capacity to exercise a high degree or imagination, ingenuity and creativity in the solution of organizational problems is widely, not narrowly, distributed in the population.

Indicate on the scale below where you would classify your own basic attitudes toward your subordinates in terms of McGregor's Theory X and Theory Y.

Theory X ____ Theory Y

10 20 30 40

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Module 4 - MANAGING SELF IN GROUPS

Behavioral Objectives:

At the end of the session, in accordance with information presented and practice experienced, you will be able to:

1. Define the terms group and group dynamics.
2. List and describe the eight characteristics of an effective group.
3. Identify the ten task, ten maintenance, and eight self-oriented roles.
4. Describe three things you learned about yourself from interacting in a group.
5. Identify the four phases of group development.
6. Identify the seven propositions in group cohesiveness.
7. Identify the eight ideas of how to increase cohesiveness.
8. Identify the five concepts that increase productivity.

Practicum Suggestions:

1. Identify the characteristics of a group evidenced in your work unit.
2. Describe the roles (task, maintenance, self) that members of your staff play.
3. Identify the norms, values, and culture in your work unit.
4. Analyze your work unit and describe where the group is in terms of the model of group development.
5. Analyze your work unit and identify effective and ineffective group behaviors.

OBSERVER INSTRUCTION SHEET

Using the following items as a guide, note what the supervisor does and how the crew reacts.

1. How did the supervisor present the problem?

   a. In presenting the problem, did he/she display the attitude of asking for help?
   b. Did he/she present all the facts?
   c. Was the presentation of the problem brief and to the point?
   d. Did he/she avoid suggesting a solution?

2. What occurred in the discussion?

   a. Did all group members participate?
   b. Was there free exchange of feeling among group members?
   c. Did the group use social pressure to influence any of its members?
   d. On which member was social pressure used?
   e. Was the supervisor permissive?
   f. Did the supervisor avoid taking sides or favoring any person?
   g. What were the points of disagreement in the group?

3. What did the supervisor do to help the group explore ideas?

   a. Did the supervisor ask questions to help the group explore ideas?
   b. Did the supervisor accept all ideas equally?
   c. Did the supervisor hurry the group to develop a solution?
   d. Did the supervisor avoid favoring any solution?
   e. Who supplied the final solution?
   f. What did the supervisor do, if anything, to get consensus on the final solution?

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POST-EXERCISE QUESTIONNAIRE

1. How understood and listened to did you feel in the group?

Not at all 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Completely

2. How much influence do you feel you had on the group?

None 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 A Great Deal

3. How committed do you feel to the decision your group made?

Very Uncommitted 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Very Committed

4. How much responsibility do you feel for making the decision work?

None 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 A Great Deal

5. How satisfied do you feel with the amount and quality of your participation in reaching the group decision?

Very Dissatisfied 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Very Satisfied

6. Write one adjective that describes the group's atmosphere during the decision-making process.

____

DEFINE THE TERM "GROUP"

A collection of persons:

a. cooperating in face-to-face interaction
b. each person aware of his/her own membership and the membership of others, and
c. each getting some satisfaction from participating in the activities taking place.

Source: Joining Together, Johnson & Johnson, p.2.

Importance of Groups:

Personal Survival: Personal survival, as well as survival of our species, has always been linked to the interrelationships formed among human beings.

Time: Most of our time is spent in interaction in groups: we are educated, work, play and worship in groups.

Pooled Resources: The pooling of resources results in advantages for each group member that could never be enjoyed through individual action.

Mental Health: Our psychological health depends to a large extent on our ability to be aware of and effectively manage our relationships with others.

Work: Most organizations accomplish work through a number of teams or small groups.

Human Resources: A work group, or team of competent, cooperating people who have the same goals and who have resources on which to draw, is the principal resource of an organization.

DEFINE THE TERM "DYNAMICS"

"The pattern of operation, change or growth of an object or phenomenon," as of personality or population.

Source: Webster's New Collegiate Dictionary, 1980, p.352 (modified)

MAJOR CHARACTERISTICS OF A GROUP

1.	People	Definition of a group: as defined by Edgar Schein in Organizational Psychology, "groups are any number of people who interact with each other on a face-to-face basis, are psychologically aware of one another, and perceive themselves as a group."
2.	Common Function	Group exists for a purpose A. Organizational - Formal type of group, such as task force, committee, etc. B. Personal - Informal type of group, not designed by organizational structure, but the members feel the need to affiliate.
3.	Structure	The pattern of relationships among group members. Describes the behavior associated with a position in the group.
remember 4.	Norms	The standards of conduct, established ways of doing things. Concerned with the way work is done - group methods or individual methods. Typically ~~unwritten~~.
5.	Cohesiveness	Value of membership in the group. The degree to which members of a group desire to remain in the group.
6.	Interaction Over Time	How the group interacts over a period of time.
7.	Culture	Social context or environment in which the work group is located. Norms are a reflection of the culture.
8.	Values	Fundamental notion of ideal behavior - usually unattainable but striven for.

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THREE TYPES OF LEADERSHIP ROLES

1. Formal - chief — A person who is formally appointed by the organization and, therefore, has authority by virtue of his/her position.

2. Informal - Sally — The leader for certain group activities. One who emerges from within the group and assumes the role of leader because of personality, seniority or authority traits.

3. Charismatic - preacher — The leader combines the characteristics of both the formal and informal leader. He/she is appointed by the organization and is also accepted by the group.

TASK FUNCTIONS

Information and Opinion Giver: Offers facts, opinions, ideas, suggestions, and relevant information to help group discussion.

Information and Opinion Seeker: Asks for facts, information, opinions, ideas and feelings from other members to help group discussion.

Starter: Proposes goals and tasks to initiate action within the group.

Direction Giver: Develops plans on how to proceed and focuses attention on the task to be done.

Summarizer: Pulls together related ideas or suggestions and restates and summarizes major points discussed.

Coordinator: Shows relationships among various ideas by pulling them together and harmonizes activities of various subgroups and members.

Diagnoser: Identifies sources of difficulties the group has in working effectively and the blocks to progress in accomplishing the group's goals.

Energizer: Stimulates a higher quality of work from the group.

Reality Tester: Examines the practicality and workability of ideas, evaluates alternative solutions, and applies them to real situations to see how they will work.

Evaluator: Compares group decisions and accomplishments with group standards and goals.

MAINTENANCE FUNCTIONS

Encourager of Participation: Warmly encourages everyone to participate, giving recognition for contributions, demonstrating acceptance and openness to ideas of others, is friendly and responsive to group members.

Harmonizer and Compromiser: Persuades members to analyze constructively their differences in opinions, searches for common elements in conflicts, and tries to reconcile disagreements.

Tension Reliever: Eases tensions and increases the enjoyment of group members by joking, suggesting breaks, and proposing fun approaches to group work.

Communication Helper: Shows good communication skills and makes sure that each group member understands what other members are saying.

Evaluator of Emotional Climate: Asks members how they feel about the way in which the group is working and about each other; shares own feelings about both.

Process Observer: Watches the process by which the group is working and uses the observations to help examine group effectiveness.

Standard Setter: Expresses group standards and goals in order to make members aware of the direction of the work and the progress being made toward the goal and to get open acceptance of group norms and procedures.

Active Listener: Listens and serves as an interested audience for other members, is receptive to others' ideas, goes along with group when not in disagreement.

Trust Builder: Accepts and supports openness of other group members, thus reinforcing risk-taking and encouraging individuality.

Interpersonal Problem Solver: Promotes open discussion of conflicts between group members in order to resolve conflicts and increase group togetherness.

Joining Together, Group Theory and Group Skills, Johnson/Johnson, Prentice Hall, 1975.

SELF ROLES

These roles are products of the personal needs that have to be met when people participate in groups--needs such as autonomy, affiliation, and self-esteem. While not contributing in a procedural sense to work on the task, these roles nevertheless affect group performance. They may become destructive, as a result of excessive needs or unusually heavy stress.

Aggressor: The aggressor attacks the merit of ideas and disapproves of other members and their feelings, often failing to conceal envious and competitive urges. He or she can preoccupy the group to the point where controlling the aggressive person becomes its primary task.

Blocker: In this role, a person is stubborn, negative, and disagreeable, sometimes in an effort to restore a particular point of view to prominence. He or she may be threatened by group membership out of fear of losing individuality. The role can disrupt the work or result in standards that no solution can fully measure up to.

Recognition Seeker: The recognition seeker performs boastfully to attract attention and admiration, wishing to be heard. He or she may become disruptive.

Self-confessor: Here, the person uses the group as an audience for a discussion of personal problems, feelings, and thoughts, often in the hope that the group or leader will heal the problems. He or she can become distracting and require constant attention from others.

Playboy: The playboy makes a point of appearing to be outside the group. He or she sees membership as a way to be entertaining. This often indicates a need for approval and affiliation, along with a fear of group membership.

Dominator: In this role, a person tries to manipulate and control the discussion and other members by asserting superiority. These actions may be a cover-up for low self-esteem. The role may be work facilitating; at times, however, the person is not easily controlled unless the group takes unified action.

Help Seeker: This person constantly seeks sympathy and support by displaying overwhelming dependency and helplessness. Often, this is a way to get attention and avoid responsibility. Such pathetic passivity strips creative energy from group members, who must constantly assess how group actions will affect this person.

Special-interest Pleader: In this role, a person cloaks biases and prejudices by advocating special interests that either directly or indirectly support his or her value system. He or she can upset work by introducing separate agenda items that seem to demand attention.

Effective Groups	Ineffective Groups
Goals are clarified and changed to give the best possible match between individuals' goals and the group's goals; goals are co-operatively structured.	Members accept imposed goals; goals are competitively structured.
Communication is two-way and the open and accurate expression of both ideas and feelings is emphasized.	Communication is one-way and only ideas are expressed; feelings are suppressed or ignored.
Participation and leadership are distributed among all group members; goal accomplishment, interval maintenance, and development change are underscored.	Leadership is delegated and based upon authority; membership participation is unequal, with high-authority members dominating; only goal accomplishment is emphasized.
Ability and information determine influence and power; contracts are built to make sure the individual goals and needs are fulfilled; power is equalized and shared.	Position determines influence and power; power is concentrated in the authority positions; obedience to authority is the rule.
Decision-making procedures are matched with the situation; different methods are used at different times; consensus is sought for important decisions; involvement and group discussions are encouraged.	Decisions are always made by the highest authority with little group discussion; members' involvement is minimal.
Controversy and conflict are seen as positive keys to members' involvement, the quality and originality of decisions, and the continuance of the group in good working condition.	Controversy and conflict are ignored, denied, avoided, or suppressed.

Effective Groups	Ineffective Groups
Interpersonal group and intergroup behavior are stressed; cohesion is advanced through high levels of inclusion, affection, acceptance, support, and trust. Individuality is endorsed.	The functions performed by members are emphasized; cohesion is ignored and members are controlled by force. Rigid conformity is promoted.
Problem-solving adequacy is high.	Problem-solving adequacy is low.
Members evaluate the effectiveness of the group and decide how to improve its functioning; goal accomplishment, internal maintenance, and development are all considered important.	The highest authority evaluates the group's effectiveness and decides how goal accomplishment may be improved; internal maintenance and development are ignored as much as possible; stability is affirmed.
Interpersonal effectiveness, self-actualization, and innovation are encouraged.	"Organizational persons" who desire order, stability, and structure are encouraged.

Source: <u>Joining Together</u>, Johnson & Johnson, 1975.

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VALUES FOR THE 1980s WORK SHEET

In April 1978 the Gallup Poll interviewed over 1,500 American adults, eighteen and older, in three hundred localities scientifically selected as representative of the country as a whole. Each person was asked whether or not he or she would welcome eight specific social changes that might occur in the coming years.

The percentage of persons welcoming each of these changes in the poll permit us to rank-order the eight items in terms of the degree to which the population as a whole welcomes these changes.

Instructions: Your task is to estimate the rankings that resulted from the survey for each item. In other words, place the number 1 beside the item you think people in the U.S. would welcome most as a social value, the number 2 for the second most welcomed change, and so on until you have ranked all eight social values, the number 8 representing the value people would welcome the least among these eight.

Social Change	Your Rank	Group Rank	Actual Rank	Percentage of Population
1. More emphasis on self-expression	2	5	4	91%
2. Less emphasis on money	5	3	5	89%
3. More acceptance of sexual freedom	7	8	8	78%
4. More emphasis on technological improvements	~~1~~ 4	4	3	74
5. More respect for authority	~~1~~ 3	6	2	70
6. More respect for traditional family ties	1	1	1	
7. Less emphasis on working hard	6	2	6	
8. More acceptance of marijuana usage	8	7	7	

Module 5 - DISCIPLINE

Behavioral Objectives:

At the end of this session, in accordance with information presented and practice experienced, you will be able to:

1. Define discipline.

2. Identify from your own experience your reaction to being disciplined and to administering discipline.

3. Identify three major work related categories of discipline problems.

4. Describe at least five ways whereby potential discipline problems can be prevented.

5. State at least five distinctions between the progressive and nonpunitive discipline models.

6. Demonstrate through role play the dynamics of nonpunitive discipline.

Practicum Suggestions:

1. Ask two or three of your associates to describe in detail how they felt following their being disciplined. Select, if possible, at least one individual who has been disciplined repeatedly.

2. Report on a disciplinary meeting (following this CPM session) where you utilize the nonpunitive model rather than progressive discipline with a subordinate.

3. Identify in your own organizational environment potential causes of discipline problems that might be prevented. Tell how.

4. Administer the Supervisory Practices Questionnaire to three to five members of your unit and report the results. Does there appear to be any relationship between the results and any discipline problems in your unit?

DEFINITION OF DISCIPLINE

Discipline: Instruction; training that develops self-control or orderliness; rules or system of rules governing conduct; punishment.

Three themes are:

1. Teach/Instruct
2. Regulate/Govern
3. Chastise/Punish

CATEGORIES OF DISCIPLINE

Most discipline problems appear to fall into the following categories or areas:

* 1. Absenteeism/Tardiness
* 2. Misconduct
* 3. Poor Performance

Ways to Prevent Tardiness and Prevent Disciplinary Problems

1. Select Good People.
2. Provide thorough orientation.
3. Assign new hire to strong supervisor.
4. Use employee to his or her potential.
5. Provide on going education
6. Provide continuous/early feedback.
7. Provide avenues for personal problem solving
8. Spell out behavioral consequences.

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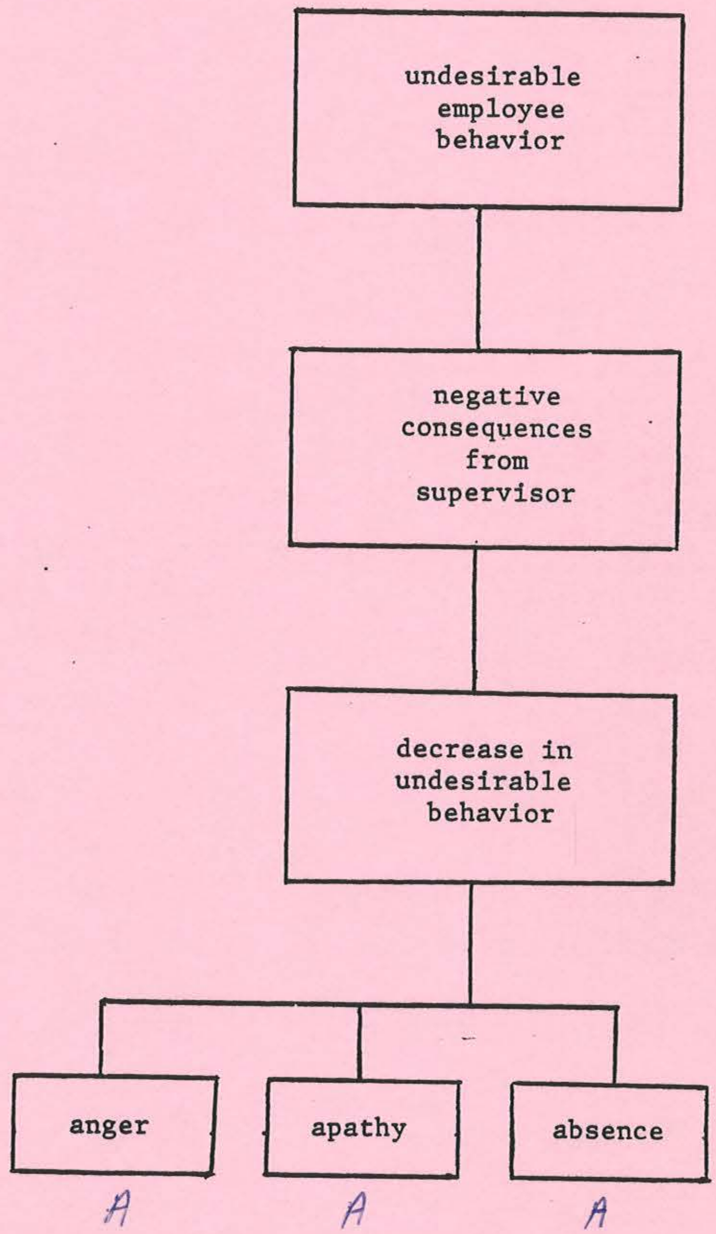
CONSEQUENCES OF PUNISHMENT

STIMULUS

RESPONSE

SHORT-TERM CONSEQUENCE

LONG-TERM CONSEQUENCE



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PROGRESSIVE DISCIPLINE STEPS
(GENERAL GUIDELINES)

Step 1 Informal Talk

If the behavioral infraction is minor or if there has been no previous disciplinary action, supervisor discusses with employee a development plan to change behavior including:

- Expected performance in contrast to actual performance
- Underlying reasons for discrepancy between expected and actual performance
- Employee's responsibility to change behavior
- Employee's past cooperation

Step 2 Oral Warning or Reprimand

Supervisor:

- Emphasizes undesirability and consequences of employee's continued behavior
- Tells employee in straightforward manner to correct behavior
- Stresses that employee must improve
- Files a temporary record of incident

Step 3 Written or Official Warning

Supervisor writes a report of incident/reprimand for the employee's file and gives the employee a duplicate copy. Report contains:

- A statement of the inappropriate behavior
- A statement of change required
- Potential consequences of future violations

Step 4 Disciplinary Layoff or Suspension

- Given for repeated offenses and/or for a serious offense
- Varies from days to weeks off
- May be with or without pay
- Impacts the organization negatively (labor shortage, group's feelings about time off, other)
- Impacts the employee negatively (resentment, anger, feeling loss of self-worth, other)

Step 5 Demotion

- Lowers rank/salary
- Impacts (as in Step 4) the organization and the employee negatively

Step 6 Discharge or Selecting Out

- Most often requires higher management approval
- Given for most serious or repeated offenses
- Negatively impacts the organization (time/cost/effort to hire and train new employee, possible long arbitration procedure) and the employee (loss of seniority, difficulty in obtaining new job)

Note: At each step of the process, the employee must be advised of the following:

a. the situation (exactly what's happening)
b. corrective action/behavioral change required
c. potential consequences if change does not occur

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COMPARISON OF TWO DISCIPLINE MODELS:
PROGRESSIVE AND NONPUNITIVE (POSITIVE)

ELEMENT	PROGRESSIVE DISCIPLINE (TRADITIONAL APPROACH)	NONPUNITIVE DISCIPLINE (ALTERNATE APPROACH)
GOAL	Compliance	Commitment
FOCUS	Employee	Problem
RESPONSIBILITY	Supervisor	Employee
TIME FRAME	Past	Future
COMMUNICATION DIRECTION	AT the employee	WITH the employee
MODE	Parent/Child	Adult/Adult
PROCESS	Punishment	Coaching
CLIMATE	Authoritarian	Collaborative

Progressive Discipline

A - Severity of Punishment, not enlightened
B. Requires time, energy, documentation
c. Never results in positive behavioral change.
d. Termination is difficult, hard to do, drains supervisor and organization.

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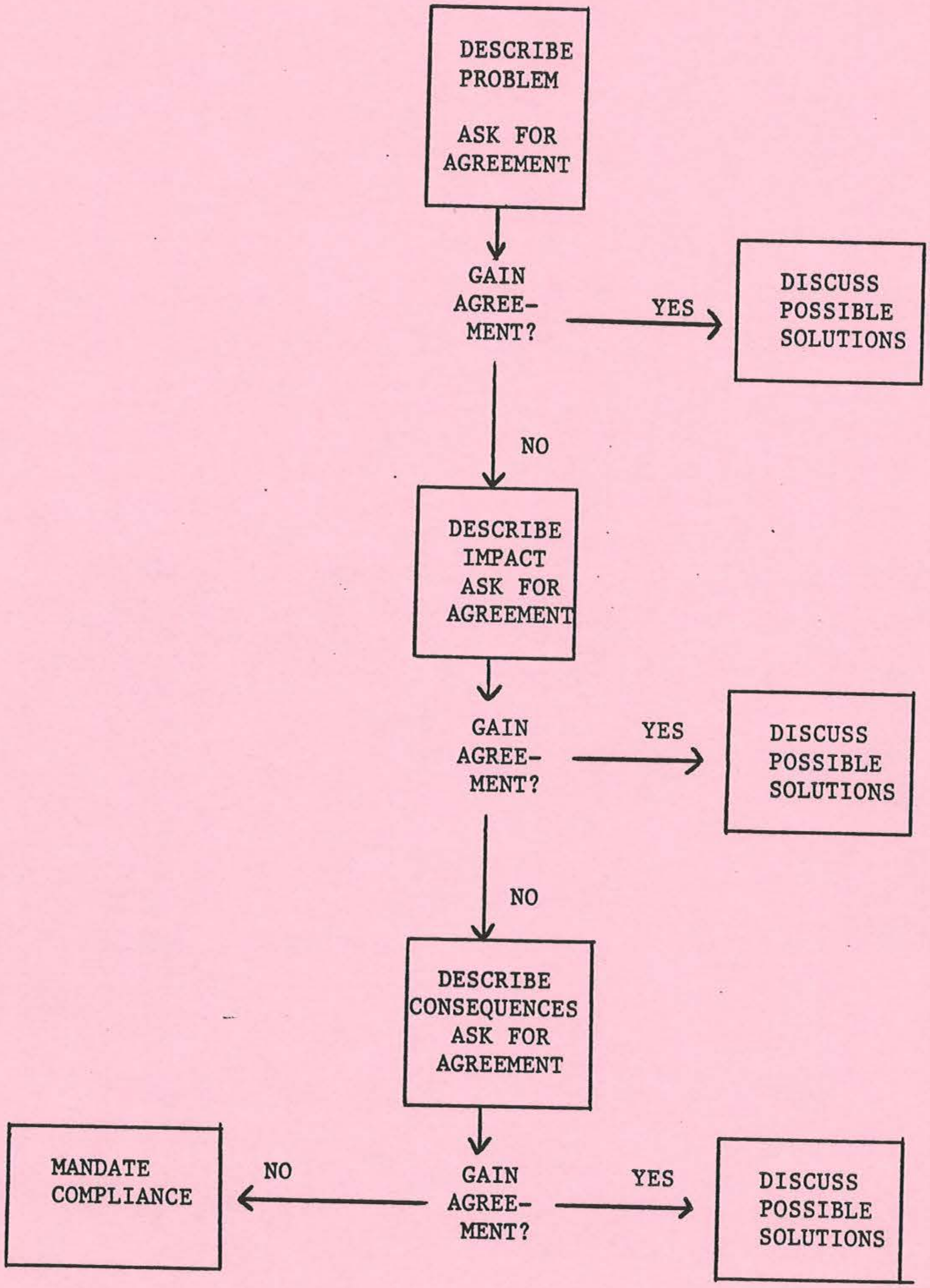
NONPUNITIVE (POSITIVE) DISCIPLINE: GAINING AGREEMENT



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IMPLEMENTING POSITIVE (NONPUNITIVE) DISCIPLINE

Based on: Richard C. Grote's
"Positive Discipline" Program

A. Identify the Performance Problem
- Supervisor identifies desired performance in contrast to actual performance.
- Focus on specific, inappropriate behavior rather than on personality trait.

B. Conduct a Thorough Investigation
- Supervisor determines cause of the problem.
- Supervisor determines whether discipline is appropriate. (Behavioral infraction may be due to lack of training, equipment, etc.)

C. Take the Appropriate Step in the Positive Discipline System

Step 1. Oral Reminder
- Supervisor has a friendly but serious discussion with employee in private and communicates a positive expectation of change.
- Supervisor:
  - Describes the performance discrepancy.
  - Explains the necessary changes.
  - Expresses confidence that employee will change his/her behavior.
- Employee accepts responsibility and agrees to change.

Step 2. Written Reminder
- Supervisor has serious but supportive discussion with employee about the performance discrepancy and expresses sincere interest in having the person continue as an employee.
- Employee is given the next day off to decide to quit or return to job, agreeing to abide by organization's requirements. (Day off should be with pay to avoid resentment of punishment.)

D. Monitor Performance (following each step)
- Supervisor recognizes improvement and provides feedback to employee.
- If no improvement, supervisor proceeds to next step. Goal of Positive Discipline is to change behavior, not to punish. Termination occurs after all the steps have been followed with no behavioral change or immediately after a serious violation.

IMPLEMENTING POSITIVE (NONPUNITIVE) DISCIPLINE - WORKSHEET

Identify an individual you supervise who has a performance problem which may require you to take disciplinary action now or in the future.

Complete the following:

1. Describe the person's <u>current</u> performance.

____

____

____

2. Describe the <u>desired</u> performance.

____

____

____

3. List any action you have taken so far to correct the problem.

____

____

____

4. What is the appropriate step in the Positive Discipline process to take at this point? (Consider action so far.)

____

____

____

5. List major points you will cover in your next discussion with this person.

____

____

____

Adapted from CPM/McGraw-Hill film, <u>Discipline Without Punishment</u>, Leader's Guide, 16mm Code 107050-8.

SUPERVISORY PRACTICES QUESTIONNAIRE

Place your selection in the appropriate column.

		Most of the time	Some of the time	Almost never
1.	Does your supervisor give you reasonable deadlines?	____	____	____
2.	Do you thoroughly understand the work that is delegated to you?	____	____	____
3.	Does your supervisor make it easy for you to talk with him/her?	____	____	____
4.	Does your supervisor see to it that people in your department work under good conditions?	____	____	____
5.	Is he/she sympathetic with problems?	____	____	____
6.	Does he/she always give clear and understandable instructions?	____	____	____
7.	Does he/she compliment you when you do a job well?	____	____	____
8.	Does he/she make every effort to keep grievances from arising?	____	____	____
9.	When complaints do arise, does he/she try to handle them honestly and objectively?	____	____	____
10.	Does he/she reprimand in private?	____	____	____
11.	Does he/she encourage suggestions and ideas from you and your co-workers?	____	____	____
12.	Does he/she avoid passing the buck on mistakes?	____	____	____
13.	Does he/she give credit where credit is due?	____	____	____
14.	Does he/she keep employees posted on their progress?	____	____	____

SUPERVISORY PRACTICES QUESTIONNAIRE (CONTINUED)

	Most of the time	Some of the time	Almost never
15. Does he/she keep promises?	______	______	______
16. Does he/she avoid jumping to conclusions?	______	______	______
17. Does he/she give reasons for changes, or lack of changes, when needed?	______	______	______
18. Does he/she avoid sarcasm?			
19. Does he/she give you and your co-workers the real facts to cut down rumors?	______	______	______
20. Does he/she make special efforts to fully orient new employees?	______	______	______
21. Does he/she avoid a "superior" attitude?	______	______	______
22. Does he/she avoid favoritism?	______	______	______
23. Does he/she make decisions promptly?	______	______	______
24. Does your supervisor help you and your co-workers work toward advancement?	______	______	______
25. Is he/she impartial in making assignments?	______	______	______

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MANAGING FOR IMPROVED SERVICE & PRODUCTIVITY

STUDENT HANDOUTS

FOR CPM LEVEL – 2

TABLE OF CONTENTS

MODULE	DAY	LEARNING OUTCOME SHEET
6	6	Power and Authority
7	7	Delegation
8	8	Leadership
9	9	Managing Conflict
10	10	Managing Diversity

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Module 6 - Power and Authority

Behavioral Objectives

At the end of the session, in accordance with information presented and practice experienced, you will be able to:

personalize - sharing -

1. Define power retention and describe six effects of a power retention strategy. people forced

   procedures vs results - stifle growth

2. Distinguish between power and authority.

3. Describe the six bases of leader power and the five bases of employee power identified by Raven and French.

   bad good.

4. Distinguish between personalized power and socialized power.

5. Define power sharing and describe four effects of a power sharing strategy.

Practicum Suggestions:

1. Analyze a work situation and report on aspects of it which parallel the power retention exercise (Star Power) done in class. Include in your report a description of the effects you observed on the people involved and the results achieved.

2. Analyze a work situation and report on aspects of it which parallel the power sharing exercise done in class. Include in your report a description of the effects you observed on the people involved and the results achieved.

3. Analyze your position and describe the types of power it provides you to do your job, as compared to the types needed.

4. Experiment with the power strategy opposite the one you normally use. This involves:

   1. Have your staff vote anonymously as to whether you mainly hold on to your power or share it with them.
   2. Determine the results; then pick a task on which you can intelligently reverse your present strategy and still get feedback within the time available for the practicum.
   3. Discuss the results of the strategy used with the person(s) involved and report results to class.

5. Select a practicum of your choice and obtain approval from your instructor.

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THE BASE OF POWER

LEADER POWER

. . . Reward power is based upon B's belief that A has the ability to supply rewards. The use of reward power depends upon A's possession of the rewards valued by B, which B believes can be attained by conforming to A's wishes. Since B's conformity is based upon promised rewards for specific behavior, however, use of reward power depends upon A's ability to observe or monitor B's behavior.

. . . Coercive power is derived from A's ability to threaten punishment and deliver penalties to B. Its strength depends upon the magnitude of punishment, either real or imagined, controlled by A, and on B's estimate of the probability of avoiding punishment by conforming to A's wishes.

. . . Legitimate power stems from internalized values in B which dictate that A has the "right," by virtue of position or role, to prescribe behavior for B and that B has an "obligation" to accept this influence. The existence of legitimate power usually develops through socialization of B to cultural values, acceptance of social structure and/or designation by a "legitimizing agent." Legitimacy is often an important characteristic of reward and coercive power.

. . . Referent power is based upon B's identification - or desire for such an identity - with A. The identification of B with A can be established or maintained if B behaves, believes and perceives as A does. Consequently, A can potentially influence B without an attempt to do so. Identification stems primarily from A's attractiveness to B and is manifested in personal feelings of "liking."

. . . Expert power is based upon B's perception that A has some special knowledge, expertise or skill in a given area. Experience, training or demonstrated ability are some of the features which may contribute to B's regard for A's expert power. The exercise of this power is relatively dependent upon A's credibility and the level of trust between A and B.

. . . Information power is based upon the persuasiveness or content of a communication and is independent of the influencing individual. A possesses information power if she or he controls B's access to information which is valued by B.

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THE BASE OF POWER

EMPLOYEE POWER

Collective Power - unions

. . . Subordinates joining together--it can alter the leader's behavior and affect the organization's goals (e.g., unions, affirmative action, citizens' action groups).

Legal Power - laws

. . . Laws governing the treatment of employees based on race, sex, national origin and religion with regard to selection, hours, pay, benefits, and working conditions. (Subordinates can at times use the courts to get equitable treatment.)

Identity Power - care power.

. . . Subordinate's influence on leader and co-workers based on personal traits (charisma--"care power").

Affluence Power - not dependent on job power.

. . . Subordinate's reduced economic dependence upon employing organization (not dependent on job for survival, e.g., volunteer and second-income jobs).

Expert Power - expertise.

. . . Subordinate's special skills or knowledge (organization looks to you for expertise, information, advice based on past performance, personal accomplishments, and/or education).

MACH V ATTITUDE INVENTORY
Richard Christie

Instructions: You will find twenty groups of statements listed below. Each group is composed of three statements. Each statement refers to a way of thinking about people or things in general. The statements reflect opinions and not matters of fact—there are no "right" or "wrong" answers, and different people have been found to agree with different statements.

Read each of the three statements in each group. First decide which of the statements is *most true* or *the closest* to your own beliefs. Put a plus sign (+) in the space provided before that statement. Then decide which of the remaining two statements is *most false* or *the farthest* from your own beliefs. Put a minus sign (−) in the space provided before that statement. Leave the last of the three statements unmarked.

Most True = +

Most False = −

Here is an example:

_____ A. It is easy to persuade people but hard to keep them persuaded.

__+__ B. Theories that run counter to common sense are a waste of time.

__−__ C. It is only common sense to go along with what other people are doing and not be too different.

In this example, statement B would be the one you believe in *most strongly* and statements A and C would be ones that are *not* as characteristic of your opinions. Of these two, statement C would be the one you believe in *least strongly* and the one that is *least* characteristic of your beliefs.

You will find some of the choices easy to make; others will be quite difficult. Do not fail to make a choice no matter how hard it may be. Remember: mark *two* statements in each group of three—the one that is the closest to your own beliefs with a + and the one that is the farthest from your beliefs with a −. Do not mark the remaining statement. *Do not omit any group of statements.*

1. _____ A. It takes more imagination to be a successful criminal than a successful business person.

   _____ B. The phrase "the road to hell is paved with good intentions" contains a lot of truth.

   _____ C. Most people forget more easily the death of their parents than the loss of their property.

2. _____ A. People are more concerned with the car they drive than with the clothes their spouses wear.

   _____ B. It is very important that imagination and creativity in children be cultivated.

   _____ C. People suffering from incurable diseases should have the choice of being put painlessly to death.

3. ______ A. Never tell anyone the real reason you did something unless it is useful to do so.

______ B. The well-being of the individual is the goal that should be worked for before anything else.

______ C. Once a truly intelligent person makes up his mind about the answer to a problem he rarely continues to think about it.

4. ______ A. People are getting so lazy and self-indulgent that it is bad for our country.

______ B. The best way to handle people is to tell them what they want to hear.

______ C. It would be a good thing if people were kinder to others less fortunate than themselves.

5. ______ A. Most people are basically good and kind.

______ B. The best criterion for a wife or husband is compatibility—other characteristics are nice but not essential.

______ C. Only after you have gotten what you want from life should you concern yourself with the injustices in the world.

6. ______ A. Most people who get ahead in the world lead clean, moral lives.

______ B. Any person worth his salt should not be blamed for putting career above family.

______ C. People would be better off if they were concerned less with how to do things and more with what to do.

7. ______ A. A good teacher is one who points out unanswered questions rather than gives explicit answers.

______ B. When you ask someone to do something for you, it is best to give the real reasons for wanting it rather than giving reasons that might carry more weight.

______ C. A person's job is the best single guide to the sort of person he or she is.

8. ______ A. The construction of such monumental works as the Egyptian pyramids was worth the enslavement of the workers who built them.

______ B. Once a way of handling problems has been worked out it is best to stick to it.

______ C. You should take action only when you are sure that it is morally right.

9. ______ A. The world would be a much better place to live in if people would let the future take care of itself and concern themselves only with enjoying the present.

______ B. It is wise to flatter important people.

______ C. Once a decision has been made, it is best to keep changing it as new circumstances arise.

10. ______ A. It is a good policy to act as if you are doing the things you do because you have no other choice.

______ B. The biggest difference between most criminals and other people is that criminals are stupid enough to get caught.

______ C. Even the most hardened and vicious criminal has a spark of decency somewhere inside.

11. ______ A. All in all, it is better to be humble and honest than to be important and dishonest.

______ B. People who are able and willing to work hard have a good chance of succeeding in whatever they want to do.

______ C. If a thing does not help us in our daily lives, it is not very important.

12. ______ A. People should not be punished for breaking a law that they think is unreasonable.

______ B. Too many criminals are not punished for their crimes.

______ C. There is no excuse for lying to someone else.

13. ______ A. Generally speaking, people will not work hard unless they are forced to do so.

______ B. Every person is entitled to a second chance, even after committing a serious mistake.

______ C. People who cannot make up their minds are not worth bothering about.

14. ______ A. A person's first responsibility is to spouse, not to parents.

______ B. Most people are brave.

______ C. It is best to pick friends who are intellectually stimulating rather than ones who are comfortable to be around.

15. ______ A. There are very few people in the world worth concerning oneself about.

______ B. It is hard to get ahead without cutting corners here and there.

______ C. A capable person motivated for his or her own gain is more useful to society than a well-meaning but ineffective person.

16. ______ A. It is best to give others the impression that you can change your mind easily.

______ B. It is a good working policy to keep on good terms with everyone.

______ C. Honesty is the best policy in all cases.

17. ______ A. It is possible to be good in all respects.

______ B. To help oneself is good; to help others is even better.

______ C. War and threats of war are unchangeable facts of human life.

18. ______ A. Barnum was probably right when he said that there is at least one sucker born every minute.

______ B. Life is pretty dull unless one deliberately stirs up some excitement.

______ C. Most people would be better off if they controlled their emotions.

19. ______ A. Sensitivity to the feelings of others is worth more than poise in social situations.

______ B. The ideal society is one in which all people know their place and accept it.

______ C. It is safest to assume that all people have a vicious streak and that it will come out when the chance arises.

20. ______ A. People who talk about abstract problems usually do not know what they are talking about.

______ B. Anyone who completely trusts anyone else is asking for trouble.

______ C. It is essential for the functioning of a democracy that everyone vote.

MACH V ATTITUDE INVENTORY SCORE KEY

Instructions: To find your score on the Mach V Attitude Inventory, locate the combination of letters and plus or minus signs that you chose for each item (group of statements) in the inventory. For example, if for the first group of statements you marked statement B with a plus (+) and statement C with a minus (−), your score for that item would be 3.

Item	1	3	3	5	5	7	Score
1	A+ C−	B+ C−	A+ B−	B+ A−	C+ B−	C+ A−	3

Mark your score for each item in the appropriate place in the score column. Do this for each of the twenty items. Then sum the scores and add 20. The range is from 40 to 160, with 100 the neutral point.

Points per Item by Response Patterns

Item	1	3	3	5	5	7	Score
1	A+ C−	B+ C−	A+ B−	B+ A−	C+ B−	C+ A−	
2	A+ C−	B+ C−	A+ B−	B+ A−	C+ B−	C+ A−	
3	C+ A−	B+ A−	C+ B−	B+ C−	A+ B−	A+ C−	
4	A+ B−	C+ B−	A+ C−	C+ A−	B+ C−	B+ A−	
5	A+ B−	C+ B−	A+ C−	C+ A−	B+ C−	B+ A−	
6	A+ C−	B+ C−	A+ B−	B+ A−	C+ B−	C+ A−	
7	B+ A−	C+ A−	B+ C−	C+ B−	A+ C−	A+ B−	
8	C+ B−	A+ B−	C+ A−	A+ C−	B+ A−	B+ C−	
9	C+ B−	A+ B−	C+ A−	A+ C−	B+ A−	B+ C−	
10	A+ B−	C+ B−	A+ C−	C+ A−	B+ C−	B+ A−	
11	A+ B−	C+ B−	A+ C−	C+ A−	B+ C−	B+ A−	
12	C+ B−	A+ B−	C+ A−	A+ C−	B+ A−	B+ C−	
13	C+ A−	B+ A−	C+ B−	B+ C−	A+ B−	A+ C−	
14	B+ C−	A+ C−	B+ A−	A+ B−	C+ A−	C+ B−	

Points per Item by Response Patterns

Item	1	3	3	5	5	7	Score
15	C+ B−	A+ B−	C+ A−	A+ C−	B+ A−	B+ C−	
16	C+ B−	A+ B−	C+ A−	A+ C−	B+ A−	B+ C−	
17	A+ C−	B+ C−	A+ B−	B+ A−	C+ B−	C+ A−	
18	C+ A−	B+ A−	C+ B−	B+ C−	A+ B−	A+ C−	
19	B+ C−	A+ C−	B+ A−	A+ B−	C+ A−	C+ B−	
20	A+ B−	C+ B−	A+ C−	C+ A−	B+ C−	B+ A−	
						Total Score	

HIGH MACHS VS. LOW MACHS

This list indicates for each characteristic in the left-hand column whether that characteristic is more typical of high Machs or low Machs.

Characteristic	*High Machs*	*Low Machs*
Emotional Detachment	X	
Susceptibility to Social Pressure		X
Acceptance of Conventional Morality		X
Manipulation/Exploitation	X	
Tendency to Be Persuaded		X
Capability of Persuading Others	X	
Suspiciousness of Others	X	
Politic Attitude	X	
Personal Orientation		X
Cognitive Orientation	X	
Control over Social Structures	X	

INTEROFFICE COMMUNICATION

TO: Officers DATE:

FROM: Chairman and CEO LOCATION: 101 GO

SUBJECT: Organization, Philosophy of Management, Style of Management

I. New Organization

II. Housekeeping Items.

A. Starting Time.

The workday begins at 8:00 a.m. for all Southeast officers just as it does for managers, supervisors, clerks, and other Southeast General Office employees. There are no exceptions. This is the "kickoff" time. No one starts cold so I expect the officers and department heads to be here before 8 o'clock in the morning to prepare their departments for the workday. Generally, I will be here at 7:30 at the latest, and probably around 7:15 most of the time, with with the exception of those days when a business breakfast is scheduled.

B. Ending Time.

For all Southeast officers, just as for Southeast managers in general, the workday ends when you have completed your work. This means that everyone will be on the job as required. In simplest terms, the opportunity cost of management time at Southeast Airlines is zero.

C. Saturday Work.

No one is required to work on Saturdays. However, given the structure of our management team, it is virtually impossible to get the job done without Saturday work. Officers should be in the office at least Saturday mornings for two Saturdays a month at minimum. This time should be used for planning, for coordinating with other departments, and for spending time in developing our younger managers. The same is true for all of our managers and supervisors. The relative quiet of a Saturday morning--or afternoon--can result in considerable accomplishment of planning tasks and handling personnel problems.

D. Vacations.

Vacations are intended to be used. I expect all officers and managers to make use of their vacation time in the year accrued. Proper management of each of your departments will allow for your taking vacation. Requests for vacation should be submited to Mr. Horn with a copy to me and most certainly will be granted on the specific days you request unless your presence in the office is needed for some special reason. All of our managers must also be encouraged to make use of their vacation and do so in a proper manner that doesn't disrupt the general flow of work in the company.

E. Travel Plans.

Officers' travel plans must be submitted to Mr. Horn for approval with a copy to me well in advance of requested travel. Good judgment should prevail in determining what travel is essential and the length of time away from the office.

F. Outside Participation.

All directorships, whether they be for publicly held companies, private companies, charitable organizations, or educational organizations, must be approved by me prior to your acceptance. This also includes church councils or Cub Scout groups or other eleemosynary endeavors, not that I would deny your participation in such activities, but I need to know which activities. One of our secondary objectives is to get greater involvement by Southwest officers in outside community activities, and it is important that I know in what areas your interests lie in order to structure participation in an orderly manner that makes sense for the company and for the officer.

G. Publicity and Public Relations.

Our policy will not change in this area. There will be only one spokesman for Southwest Airlines, and that is me. Requests for interviews or information must be referred to the Vice President - Public Relations. For any type of public relations or publicity effort that allows us the opportunity to sell some tickets, Mr. Horn, or Mr. Magary will be the company spokesman. In other areas such as finance, government affairs, civic affairs, etc., upon review of the request for information or interview, I will determine who should represent this company. The only exception to this policy is for financial analysts, where the CFO has delegated authority to deal directly with this group.

H. Appointments with SGR.

Although I will almost always be in my office not later than 7:30 in the morning, I do not want to see anyone until approximately 8 o'clock, nor do I want people hanging around in the outer office. Again, because of the time demands on everyone, if you want to see me about a particular subject, call Rose and leave a message as to the subject matter. It is my intention to see you as quickly as possible to resolve the problem or discuss the matter at hand. But I want no one just drifting into the office to visit or address a particular problem. Also give Rose the times you are available to discuss the subject. If you have a meeting scheduled for 10 o'clock , say so and give the approximate length of time so that we don't wind up messing up everybody's workday.

I. Staff Meetings.

There will be a staff meeting of all officers every other Friday at 8:00 a.m. in the board room. The purpose of these meetings is to communicate information to all officers. During the first 15 minutes I will provide information that is relevant to the company's position or policies, then each officer will present an update on their department and, in particular, problems or areas of concern that affect other officers' departments.

J. Bi-Weekly Reports.

Our bi-weekly reporting system will continue. Those reporting to an executive vice president address your reports to them. Executive vice presidents add your comments and forward all reports to Mr. Horn. The Cash report should be submitted weekly to me with a copy to Mr. Horn.

K. Operations and Policy Review.

Every Wednesday morning at 8:00, an operations and policy review meeting will be held in the board room. The Chairman, the Vice Chairman, the President, Vice President Assistant to the Chairman, Sr. Vice President Marketing Planning, and Executive Vice Presidents will attend to review that previous week's operations, marketing, and related activity, and preview the upcoming week's activity. Other officers will be invited as needed.

L. All Other Policies.

All other policies will remain in place, as is, until further notice.

III. Management Philosophy.

A. Team Concept.

B. Responsibility and Authority.

C. Participative management.

D. Informal Structure.

E. No Corporate Politics.

F. Rewards.

IV. Style of Management.

A. Management by Objectives.

B. Goal Oriented.

C. Revenue Production.

D. Tight Cost Control.

E. Stick to the Basics.

F. Work Ethic.

G. Type of manager.

H. No Do It Yourself Problem Solving Kits.

I. Tough, but fair.

J. You've Got To Be Good To Be Lucky.

K. Create Our Own Opportunities.

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Jan. 19, 1988

Module 7 - Delegation

Behavioral Objectives:

At the end of the session, in accordance with information presented and practice experienced, you will be able to:

1. Define delegation. entrusting another with a power to act. granting power to act to staff to accomplish. Breathes life into organization. effective and efficient use of resources.

2. Differentiate among the terms authority, responsibility, and accountability.

3. List and explain the steps in delegation.

4. List and give examples of the six levels of delegation.

5. Identify at least five obstacles to delegation.

6. Describe the relationship between time management and delegation.

7. Explain the 80/20 Rule of Pareto's Principle.

8. Explain three common mistakes made when delegating.

9. Name at least five time management techniques.

Practicum Suggestions:

1. For three days, make a "To Do" list. Rank the list using the ABC method. Identify items you wish to delegate and how you will do it.

2. Do an "In Basket" with you mail/phone messages. Report your results.

3. Identify the "pitfalls" of delegation from which you suffer. How will you correct these?

4. Do a log of your time for two days. Identify time wasters to be eliminated.

5. Identify that "20%" of your effort that yields "80%" of your results.

6. A practicum of your choice, approved by your instructor.

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"WOULD YOU DELEGATE" EXERCISE

Would you delegate in the following situations? (Check either Yes or No.)

		YES	NO
1.	In your organization, mistakes are held against you and you are supposed to know the details of what is going on in your section.	X	
2.	You need more time to concentrate on the key aspects of your job and to make better connections at your level in management. You could use more ideas from inside your department.	X	
3.	You are a perfectionist about your work. If you delegate, you know that you will have to assume responsibility for any errors made.	X	
4.	There is one outstanding person among your subordinates who could develop rapidly to a stage where he/she could do your job at least as well as you can.	X	
5.	You have no experience in the use of follow-up procedures.	X	
6.	You are faced with a situation for which making the wrong decision would have serious consequences for your entire operation.		X
7.	There are a lot of really bright young people in your department. If you delegate heavily to them, they might gain enough experience to leave you for promotional opportunities elsewhere in the organization.	X	
8.	In the work unit you supervise, morale is low and productivity is down. You could use a good motivational tool.	X	
9.	You have very good organizational and effective time management skills. The goals and objectives of the work unit you supervise are being met.	X	

	YES	NO
10. You have a project that takes less time for you to complete than it takes to train a subordinate to perform it.	X	

Discussion Question:

Are there some tasks a supervisor should never delegate? If so, what are they?

Approval of final drafts of letters, reports, etc.
Assignment of money for projects.

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5.

OBSTACLES TO DELEGATION

1. Lack of agreement on specifics of delegation
2. Lack of performance standards and guidelines
3. Lack of proper training
4. Lack of understanding of organizational objectives
5. Lack of confidence in subordinate's capabilities
6. Lack of confidence in self--unwillingness to take risks
7. Fear that subordinate will perform better than oneself
8. Fear of punitive action by superiors
9. Interference by superior's superior
10. Interference by superior
11. Failure to understand advantages of successful delegation
12. Superiors' liking to do a particular job themselves
13. Mistaken belief that you <u>are</u> delegating
14. Desire for perfection
15. Belief that things are going well enough as they are
16. Ambiguous understanding of job responsibilities
17. Failure to establish adequate follow-up procedures
18. Fear of criticism
19. Unwillingness to allow mistakes
20. Desire to be "liked" by subordinates

3. STEPS OF DELEGATION

I. Analyze how you spend your time.

A. Prepare a list of all your activities for a week.
B. Prepare a list of activities you should be engaging in but cannot because of lack of time.
C. Rate the activities in order to importance and urgency. Decide how much time should be spent on each activity.

II. Decide which tasks can be assigned.

The following types of tasks should be considered:

A. Routine tasks.
B. Temporary tasks.
C. Time-consuming tasks.
D. Tasks that require minor decisions.
E. Tasks you are least qualified to do.
F. Tasks that subordinates are already qualified to do.

III. Decide who can handle which task.

A. Analyze each employee to determine:

1. His/her skills, capabilities and experience.
2. What he/she enjoys and does not enjoy doing.
3. Which tasks would enhance his/her growth and development.
4. Current workload.

IV. Delegate the authority.

A. Communicate the goals of the delegation.

1. Describe desired results.
2. Explain how employee will be measured.
3. Establish target date for completion.

B. Agree on the level of delegation.

1. Explain limits of authority.
2. Give authority commensurate with the responsibility to complete the task.
3. Explain resources and restrictions affecting the delegation.

C. Motivate the employee.

1. Suggest shortcuts.
2. Tell, show, explain, and demonstrate the task to be delegated, when necessary.
3. Encourage the employee to ask questions and express any concerns he/she may have about the delegation.

V. Control the Delegation

A. Get periodic feedback by:

1. Questioning
2. Observing
3. Requiring reports
4. Scheduling conferences
5. Measuring progress toward goals.

B. Communicate the delegation to the entire work group and coordinate the delegated activities with the activities of the entire work group, when necessary.

C. Give the employee feedback on his/her performance and reward good performance.

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4. LEVELS OF DELEGATION

Delegation is the act of passing along authority to other people. Authority is delegated in differing degrees. Having staff know the level of authority passed with the delegated job is crucial. Below are six levels that, when used, can make clear to staff what is expected.

Level 6:	Take Action	- No further contact with me required.
Level 5:	Take Action	- Let me know what you did.
Level 4:	Look Into Problem	- Let me know what you intend to do; do it unless I say no.
Level 3:	Look Into Problem	- Let me know what you intend to do; don't take action until I approve.
Level 2:	Look Into Problem	- Let me know alternative actions, include pros and cons of each, and recommend one for my approval.
Level 1:	Look Into Problem	- Report all the facts to me; I'll decide what to do.

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6. TIME MANAGEMENT

In order to begin developing your time management skills, the following points should be your "A" priority for the next several weeks:

I. Obtain additional resource material to further your depth of knowledge in the subject. Two excellent publications are:
   A. THE TIME TRAP by R. Alec Mackenzie.
   B. HOW TO GET CONTROL OF YOUR TIME AND YOUR LIFE by Alan Lakein.

important

II. Review Lakein's six ideas:
   A. List goals and set priorities.
   B. Make a daily "To Do" list.
   C. Start with A's, not C's.
   D. Ask Lakein's question often: "What is the best use of my time right now?"
   E. Handle each piece of paper only once.
   F. Do it now.

III. Set up a system to do away with major time wasters.
   A. Devise systems for handling recurring situations.
      1. Weekly, monthly, annual tickler file system.
      2. Set up written procedures whenever possible.
   B. Train your staff to save your time.
      1. Don't be available at the whim of any employee.
      2. Set up formal times to meet with various staff, so that there is a set time for questions and answers.
   C. Work with your secretary to increase your output and staff initiative.
      1. Screen all telephone calls, letting only the most urgent interrupt your current priority.
      2. Organize your mail procedure so that routine letters will be drafted by some other staff member within your organization.
      3. Delegate everything possible.
      4. Minimize meetings and the length of every meeting. Set a beginning and ending time.
      5. Screen all visitors.
         a. Authorize your secretary to handle appointments.
         b. Fix reception hours.
         c. Go to the subordinate's office.
         d. Meet the visitor outside your office.
         e. Confer standing up.
         f. Set a time limit for your visitor.
      6. Set up one hour per day when you will see or speak to no one. This constitutes a quiet hour when you get to work completely uninterrupted.

Discipline:
The only way to increase your productivity is to begin today, right now, to discipline yourself and your staff in the principles listed above. You will find you are the biggest road block to effective time management.

REMEMBER, WHAT IS THE BEST USE OF YOUR TIME RIGHT NOW?

VICE PRESIDENT'S IN-BASKET BACKGROUND SHEET

The Acme Company is rapidly becoming an energy conglomerate. Begun as a partnership between Paul and Harold Anderson (brothers), the company incorporated in 1975. Although the Andersons retain only 25 percent of the company's stock, company policy and procedure remain under their tight control.

Originally an oil-exploration company, Acme has pumped resources into shale oil and coal development, setting up separate corporate divisions for each.

A major thrust now is in strip mining—of both coal and shale. Acme's projected plans to "strip" five hundred miles in Colorado and three hundred miles in Alabama have environmentalists "up in arms," and they have filed law suits in both states.

"Sixty Minutes" ran a special last Sunday on what it called Acme's "excessive profits" and "rape of the environment."

Yesterday, an explosion at a test site near Steamboat Springs, Colorado, claimed forty-two lives.

Coal miners in Alabama's underground mines are threatening to go on strike next month.

VICE PRESIDENT'S IN-BASKET SITUATION SHEET

Assignment

You are Tracy Mitchell. At 7 a.m. this morning (May 19), Paul Anderson phoned with the news that Richard Ray is in critical condition at Memorial Hospital following a massive coronary. You (Tracy) are to take over immediately as Acting Vice President for Public Affairs.

You are to continue your liaison responsibility with the press and, Mr. Anderson reminded you, you are to sit in on the meetings in New York City this week to discuss plans for a new corporate advertising campaign. Although the campaign is primarily the responsibility of the marketing division, Mr. Anderson wants you to be involved because of your sensitivity to the public relations implications. This is most important because of recent negative news coverage and the impending strike.

You are scheduled to fly to New York at 10:30 this morning. You cannot count on leaving New York before noon on Friday.

You have just arrived at the office (8 a.m.). By pushing it, you will have about two hours in the office.

Note: All typing and other secretarial work is channeled through Lorraine Jones. Neither Mr. Ray nor you has a personal secretary.

VICE PRESIDENT'S IN-BASKET
CALENDAR SHEET

May

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24 31	25 MEMORIAL DAY HOLIDAY	26	27	28	29	30

VICE PRESIDENT'S IN-BASKET
ITEM SHEET 1

Office Memorandum

TO: Richard Ray DATE: May 1, 19____

FROM: Mason Meyer MM

Delegate.

SUBJECT: *Internal Reporting Format*

With the expansion of our energy divisions, we need to standardize formats for our internal reporting. Paul suggested that I ask for your suggestions.

VICE PRESIDENT'S IN-BASKET
ITEM SHEET 2

Office Memorandum

TO: Richard Ray DATE: May 6, 19____

FROM: Paul Anderson PA

Delegate.

SUBJECT: *Guidelines for Clarifying Material*

Rick, I'm calling on your communication expertise again!

OSHA has ordered that we rewrite mining procedures so the miners will be able to understand the safety instructions more easily. Currently, they are written in engineering terminology.

You'll be glad to know that I'm not asking you to do the rewriting; I feel that's best done at the job site. However, I do want you to draft some guidelines for simplifying material, which I'll ask Mason Meyer to distribute under my signature to all managers and line supervisors. They will do the actual rewriting.

VICE PRESIDENT'S IN-BASKET
ITEM SHEET 3

Office Memorandum

TO: Richard Ray

DATE: May 12, 19___

FROM: Derick Washington DW

Keep.

SUBJECT: *Rejection Letter*

I need your help. The (attached) letter that we send to applicants we don't intend to hire sounds pretty harsh.

Since PR is your "bag," would you give the letter a once over? Thanks.

VICE PRESIDENT'S IN-BASKET
ITEM SHEET 4

Date: Keep.

Dear Applicant:

We have received your application for a position here at Acme. Unfortunately, we cannot hire you at this time. We know how tough the job market is these days and we do wish you the best of luck in finding employment.

Yours truly,

Derick Washington

Derick Washington
Vice President,
Human Resource Development

VICE PRESIDENT'S IN-BASKET
ITEM SHEET 5

486 High Forest
Mulga, OH 33221
May 11, 19____

Richard Ray
Executive Vice President
Public Affairs
Acme Company
1312 Macon Square
Cambridge, IL 24613

Delegate.

Dear Rick:

I received a copy of the last annual report and want to compliment you on its production. The only thing that bothered me was that I felt it was a little too worker-oriented. It seems to me that we are interested in getting more investors. You had pictures of miners. But that's just my own reaction.

The reason that I am writing is to ask a personal favor of you. As you know, I recently have been re-elected as president of the Rotary Club here in Mulga, and we are celebrating National Industry Week, May 25-29. Could you send someone to speak at our Rotary-Friend Luncheon on May 26th?

Thank you for your attention to this matter. I hope that you can send someone.

Yours truly,

Eric Short

Eric Short

ES: an

VICE PRESIDENT'S IN-BASKET
ITEM SHEET 6

Office Memorandum

TO: Richard Ray DATE: May 18, 19___

FROM: Paul Anderson PA delegate.

SUBJECT: *Speech Outline*

I received an invitation today to speak at the Chicago Press Club on May 29. (Somebody must have died.)

Could you get a bare bones outline to me by noon on the 21st so I can send it to research? Time is short!

I've listed a few ideas below, but feel free to add your own.

Address environmental concerns
We need to justify profits
Take free-enterprise stance
The work progress is key
Should we talk about balance of payments?
What about governmental regulation?

VICE PRESIDENT'S IN-BASKET
ITEM SHEET 7

Office Memorandum

TO: Richard Ray DATE: March 12, 19___

FROM: Paul Anderson PA

~~[illegible]~~ delegate.

SUBJECT: *Writing Check List*

I continue to be appalled at the poor quality of writing at Acme. Because you're our "in-house communications expert," please draw up a check list that managers can use to give feedback to subordinates on writing problems.

Make the list short, simple, and easy to use, but make it comprehensive enough to be worthwhile.

VICE PRESIDENT'S IN-BASKET
ITEM SHEET 8

Office Memorandum

TO: Richard Ray DATE: May 4, 19___

FROM: Derick Washington DW

SUBJECT: *Clarifying Employee Benefits*

A recent survey shows that 58 percent of Acme's employees do not understand the company's benefit package. What are your ideas on how to correct this?

cc: Sheila Johnson

Keep.

VICE PRESIDENT'S IN-BASKET
ITEM SHEET 9

5/18

Mr. Ray –
I have a dentist's appt. Tuesday, the 19th, and will not be in the office before noon.

trash Lorraine Jones

VICE PRESIDENT'S IN-BASKET
ITEM SHEET 10

From the Desk of
Paul Anderson

Tracy – you'll have to handle this – Let me see a draft before you leave town – Paul A.

STEAMBOAT SPRINGS, COLORADO—Yesterday about 5:00 p.m., an explosion claimed the lives of forty-two miners in nearby Brat's gulch. Survivors blamed lack of safety precautions for the explosion. According to one miner, who does not wish to be identified, the company stored flammable chemicals near the construction site. A spark from the drilling rig ignited the chemicals. Spokespeople for Acme Company, owner of the drilling operation, could not be reached for comment.

Rick – The press is pushing for a response. Let me see a draft a.s.a.p. Express regret, tell them we're investigating, and generally smoothe the waters.
Paul A.

Keep.

VICE PRESIDENT'S IN-BASKET
ITEM SHEET 11

From the Desk of
Paul Anderson

Rick –
I've asked Tracy to
sit in on the ad meetings
in NYC this week.
Tracy will be out of
the office Tuesday through
Friday. Paul
5/18

trash

VICE PRESIDENT'S IN-BASKET
ITEM SHEET 12

Office Memorandum

May 18, 19___

TO: Richard Ray

FROM: Paul Anderson PA

delegate.

SUBJECT: *Annual Report Format*

Rick, thumb through several annual reports from other companies and give me some feedback about formats we may wish to consider using this year.

I think our research library should have copies of several reports.

VICE PRESIDENT'S IN-BASKET
ITEM SHEET 13

From the Desk of
Paul Anderson

Tracy—
While you're working on that press release on the mine explosion, you may as well draft some letters of condolence to the families.
Thanks!
Paul

delegate.

VICE PRESIDENT'S IN-BASKET
ITEM SHEET 14

From the Desk of
Paul Anderson

Rick—

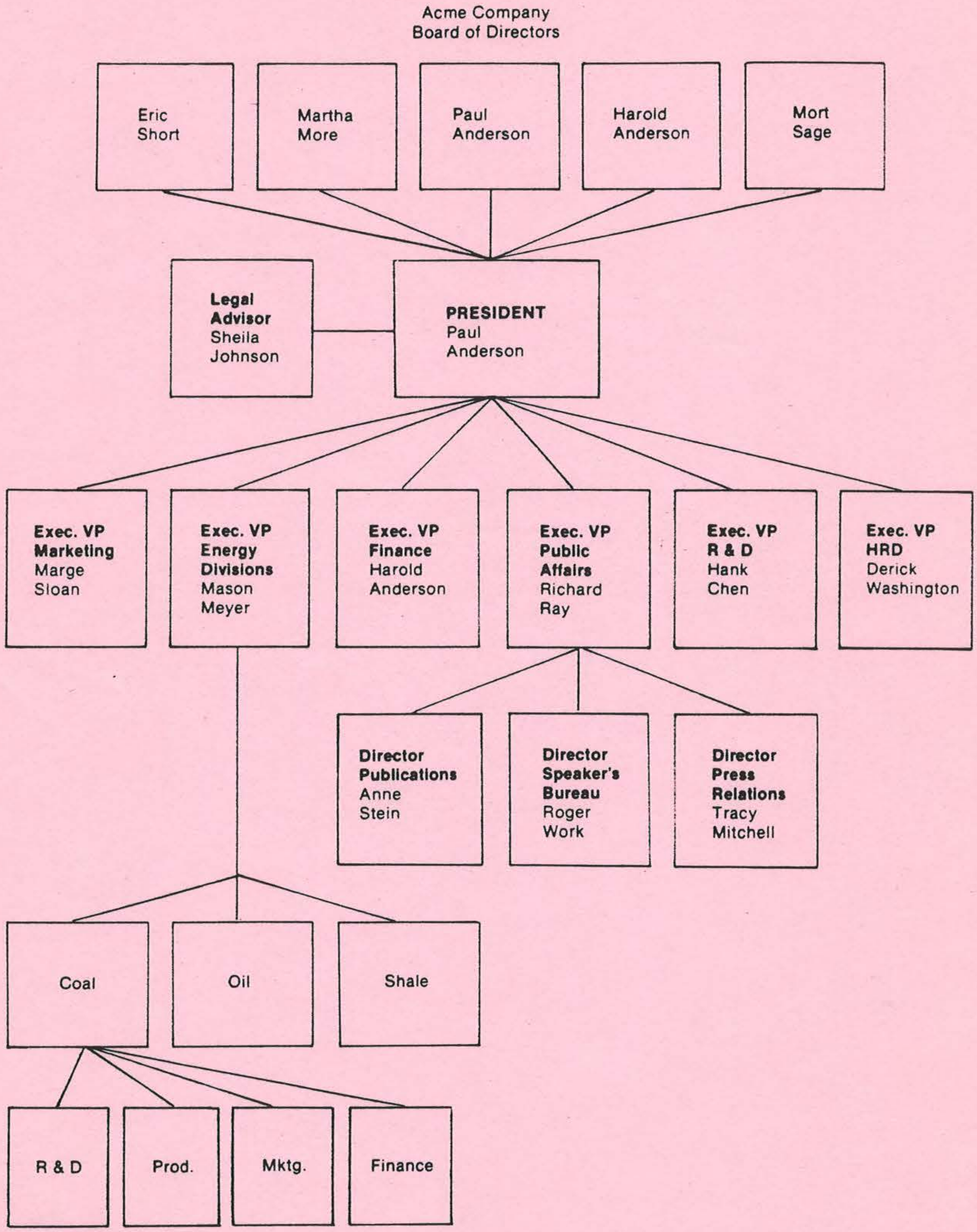
Prepare a preliminary sketch for an exhibit on the following data on gross revenues. This is to be used in Congressional testimony on the 27th (May). How about giving me two alternatives?

Data: Over the past five years, gross revenues increased from $1.5 million in 19____ to 2.3 million in 19____, 4.5 million in 19____, 5.9 million in 19____, and 7.1 million in 19____

delegate.

VICE PRESIDENT'S IN-BASKET ORGANIZATIONAL CHART SHEET

Acme Company



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3. Leadership vs. Management

1. Leadership - the process of influencing people so that they will work willingly and enthusiastically towards the achievement of organizational goals. Leadership may be formal or informal.

(C.B-1936)

Management - involves the authority and responsibility for the performance of activities on a day-to-day basis (planning, organizing, controlling) which contribute to accomplishing the work.

The question of leadership vs. management is addressed by Warren Bennis and Burt Nanus in Leaders: The Strategies for Taking Charge, (New York: Harper & Row, 1985):

> The problem with many organizations, and especially the ones that are failing, is that they tend to be overmanaged and underled. . . . They may excel in the ability to handle the daily routine, yet never question whether the routine should be done at all. There is a profound difference between management and leadership, and both are important. "To manage" means "to bring about, to accomplish, to have charge of or responsibility for, to conduct." "Leading" is "influencing, guiding in direction, course, action, opinion." The distinction is crucial. Managers are people who do things right and leaders are people who do the right thing. The difference may be summarized as activities of vision and judgment--effectiveness versus activities of mastering routines--efficiency.

Leadership vs. Management

effective - do things right | efficient - do right things

Organizational Goals.

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Module 8 - Leadership

Behavioral Objectives:

At the end of the session, in accordance with information presented and practice experienced, you will be able to:

1. Define leadership.

2. Describe the relationship between power and leadership.

3. Differentiate between leadership and management.
effective · efficacy

4. Identify your own leadership style by using the Hersey/Blanchard LEAD instrument.

5. Describe the significance of the following approaches to the study of leadership behavior: trait, behavioral style, two-factor theory.

6. Describe and apply the Hersey/Blanchard Situational Leadership Model.

7. Differentiate between transactional and transformational leadership and give examples of each.

Practicum Suggestions:

1. Using the Hersey/Blanchard Situational Leadership Model, analyze the level of maturity of 2 or 3 of your subordinates. Then, identify the appropriate management style for each individual based on the task and organizational situation involved. Describe the steps for modifying your style in each situation where you feel a change is appropriate.

2. Analyze and describe those actions which, in your opinion, have demonstrated the possibility of your development into a transformational leader. What evidence do you have to support your claim?

3. Analyze and describe what, until the present, has been your leadership style (autocratic, democratic, autocratic-democratic, free-rein). How did the results of the LEAD instrument compare with your prediction of your leadership style? Discuss (a) your commitment to and (b) your plans to modify your present style as you feel appropriate.

4. Select a practicum of your choice and obtain approval from your instructor.

Studies on Leadership

5. Trait - Studies examining the personal (psychological, intellectual, and emotional) traits of leaders to determine any significant pattern of traits unique to leaders.

- Failed to find any pattern of traits unique to leaders.

Behavioral Style - Studies examining what leaders do in an attempt to determine a best style (autocratic, democratic, laissez-faire or free-rein).

should be all three

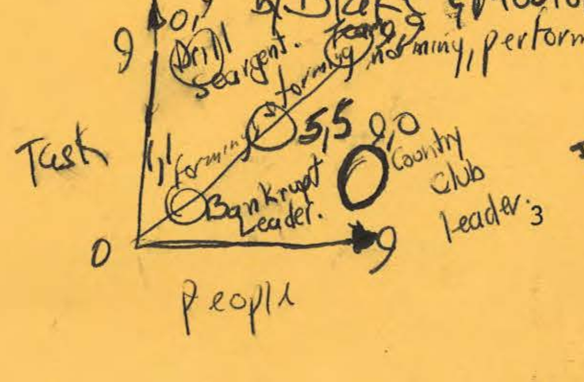
Autocratic style - leader determines all policy and gives orders to the group members. orders

Democratic style - policies are set through group discussion and decision with the leader. Leader encourages and helps group interact.

Free rein or laissez-faire - leader participates very little; serves as information booth, providing resources and parameters while group solves problems.

Ohio State - Concern for Task, Concern for People.
- what group does · what people do.

Two Factor Theory - Developed from studies examining the way groups function; suggests there are two factors in the development of leadership behavior--those which are concerned with what the group is doing, called "task behaviors," and those concerned with how the group is functioning, called generally "human relations behaviors."



Managerial Grid

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C.

Situational Leadership (Hersey & Blanchard) - approach to leadership which is based on adapting one's style to the work situation and the task relevant maturity of the staff, leading to increased levels of maturity (development).

Task Behavior - The extent to which a leader plays an active role in directing the activites of subordinates: telling them the what, where, and how of the job; setting goals; defining structure and roles; checking the quality of work; solving problems and making decisions. Task behavior is usually characterized by one-way communication.

Relationship Behavior - The extent to which a leader shows respect for subordinates' ideas and displays empathetic consideration for subordinates' feelings; stays sensitive to the communication process; provides socio-emotional support and "psychological strokes" and performs facilitating behaviors. Relationship behavior is usually characterized by two-way communication.

Maturity (Developmental Level, Readiness) - The extent to which individuals are willing (motivated) and able (competent) to take responsibility for directing their own behavior in a particular area. Maturity includes two factors: psychological maturity and job maturity.

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Characteristics of Transformational Leadership

1. Models of integrity and fairness
2. Give staff autonomy
3. Encourage Self-Development.
4. Share Knowledge - Expertise
5. Are fair but firm & Reprimanding when necessary
6. Informal / Accessible
7. Stand up for subordinates
8. Act as symbol of success.
9. Keep others informed
10. Serve as mentors

Stay in touch via contact (MBWA)
Manage by walking around.

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EXERCISE 1

You have been considering making major changes in your organizational structure. Members of the group have made suggestions about needed change. The group has demonstrated flexibility in its day-to-day operations.

Questions:

R4. correct.

1. How would you rate the maturity of the group M1, M2, M3, or M4?

2. As the supervisor of this group, which one of the following actions should you take?

   (a) Engage in friendly interaction, but see that they follow rules and regulations.

   (b) Take no definite action.

   (c) Acquire the group's input on a course of action and allow the group to structure the task.

   (d) Emphasize the use of uniform procedures and the necessity of task accomplishment.

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EXERCISE 2

Productivity and group relations are good. You feel somewhat unsure about your lack of direction of the group.

Questions:

R4.

1. How would you rate the maturity of the group - M1, M2, ~~M3,~~ or M4?

2. As the supervisor of this group, which one of the following actions should you take?

   (a) Emphasize the importance of deadlines and tasks.

   (b) Involve the group in problem-solving.

   (c) Individually talk with members and set goals.

   (d) Do what you can to make the group feel important and involved.

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EXERCISE 3

Your followers are not responding lately to your friendly conversation and obvious concern for their welfare. Productivity is in a tailspin.

<u>Questions</u>:

R1.

1. How would you rate the maturity of the group? M1, M2, M3, or M4?

2. As the supervisor of this group, which one of the following actions should you take?

   (a) Avoid confrontation; don't apply pressure.

   (b) Make yourself available for discussion without pushing for completion.

   (c) Make your feeling about goals clear and do all you can to help in goal completion.

   (d) Act quickly and firmly to correct and redirect.

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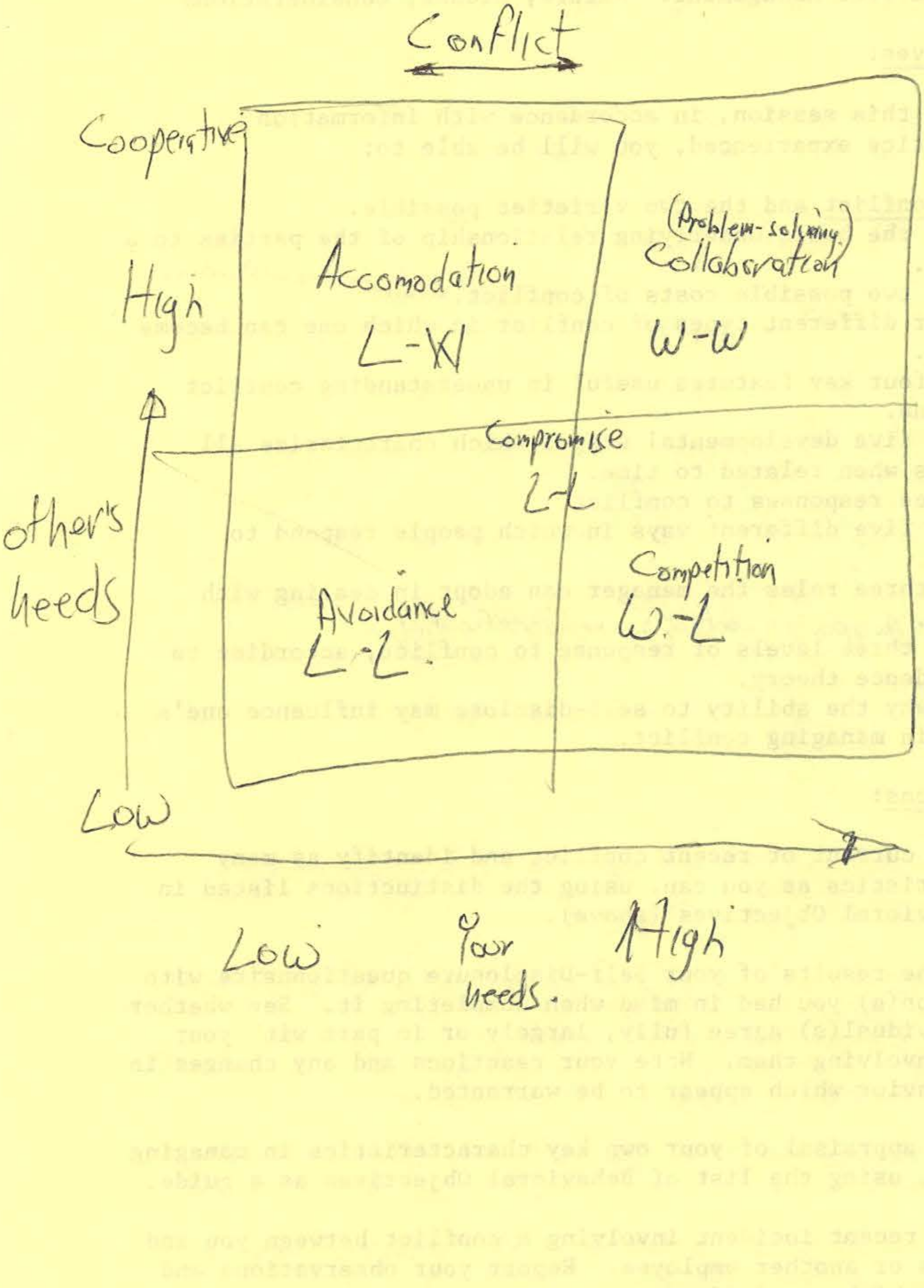
LEADERSHIP BEHAVIORS

RESEARCHERS	TASK	HUMAN
K. Lewin, R. Lippitt, R. K. White	Autocratic	Democratic
R. R. Blake and J. S. Mouton	Production-Oriented	People-Oriented
R. Likert	Job-Centered	Employee-Centered
E. A. Fleishman	Initiating Structure	Consideration
D. Johnson and R. Johnson	Task	Maintenance
C. Argyris	Rational-Technical Competence	Interpersonal Competence
R. Tannenbaum and W. Schmidt	Boss-Centered	Subordinate-Centered
F. E. Fiedler	Task Structure	Leader-Member Relations
P. Hersey and K. Blanchard	Task	Relationship


Conflict
Cooperative
High
Accomodation
L-W
(Problem-solving)
Collaboration
W-W
Compromise
L-L
Competition
W-L
Avoidance
L-L.
others
needs
Low
Low
Your
needs.
High

LEADER EFFECTIVENESS AND ADAPTABILITY DESCRIPTION (LEAD)

Paul Hersey and Kenneth H. Blanchard

Directions: Assume you are involved in each of the following twelve situations. READ each item carefully and THINK about what you would do in each circumstance. Then CIRCLE the letter of the alternative that you think would most closely describe your behavior in the situation presented. Circle only *one choice*. For each situation, interpret key concepts in terms of the environment or situation in which you most often think of yourself as assuming a leadership role. Say, for example, an item mentions subordinates. If you think that you engage in leadership behavior most often as an industrial manager, then think about your staff as subordinates. If, however, you think of yourself as assuming a leadership role primarily as a parent, think about your children as your subordinates. As a teacher, think about your students as subordinates.

Do not change your situational frame of reference from one item to another. Separate LEAD instruments may be used to examine your leadership behavior in as many different settings as you think helpful.

1. Your subordinates have not been responding to your friendly conversation and obvious concern for their welfare. Their performance is in a tailspin.
   - A. Emphasize the use of uniform procedures and the necessity for task accomplishment.
   - B. Make yourself available for discussion but do not push.
   - C. Talk with subordinates and then set goals.
   - D. Be careful not to intervene.
2. The observable performance of your group is increasing. You have been making sure that all members are aware of their roles and standards.
   - A. Engage in friendly interaction, but continue to make sure that all members are aware of their roles and standards.
   - B. Take no definite action.
   - C. Do what you can to make the group feel important and involved.
   - D. Emphasize the importance of deadlines and tasks.
3. Members of your group are unable to solve a problem themselves. You have normally left them alone. Group performance and interpersonal relations have been good.
   - A. Involve the group and together engage in problem solving.
   - B. Let the group work it out.
   - C. Act quickly and firmly to correct and redirect.
   - D. Encourage the group to work on the problem and be available for discussion.
4. You are considering a major change. Your subordinates have a fine record of accomplishment. They respect the need for change.
   - A. Allow group involvement in developing the change, but do not push.
   - B. Announce changes and then implement them with close supervision.
   - C. Allow the group to formulate its own direction.
   - D. Incorporate group recommendations, but direct the change.

5. The performance of your group has been dropping during the last few months. Members have been unconcerned with meeting objectives. They have continually needed reminding to do their tasks on time. Redefining roles has helped in the past.

   A. Allow the group to formulate its own direction.

   B. Incorporate group recommendations, but see that objectives are met.

   C. Redefine goals and supervise carefully.

   D. Allow group involvement in setting goals, but do not push.

6. You stepped into an efficiently run situation. The previous administrator ran a tight ship. You want to maintain a productive situation, but would like to begin humanizing the environment.

   A. Do what you can to make the group feel important and involved.

   B. Emphasize the importance of deadlines and tasks.

   C. Be careful not to intervene.

   D. Get the group involved in decision making, but see that objectives are met.

7. You are considering major changes in your organizational structure. Members of the group have made suggestions about needed change. The group has demonstrated flexibility in its day-to-day operations.

   A. Define the change and supervise carefully.

   B. Acquire the group's approval on the change and allow members to organize the implementation.

   C. Be willing to make changes as recommended, but maintain control of implementation.

   D. Avoid confrontation; leave things alone.

8. Group performance and interpersonal relations are good. You feel somewhat unsure about your lack of direction of the group.

   A. Leave the group alone.

   B. Discuss the situation with the group and then initiate necessary changes.

   C. Take steps to direct your subordinates toward working in a well-defined manner.

   D. Be careful of hurting boss-subordinate relations by being too directive.

9. Your superior has appointed you to head a task force that is far overdue in making requested recommendations for change. The group is not clear about its goals. Attendance at sessions has been poor. The meetings have turned into social gatherings. Potentially, the group has the talent necessary to help.

   A. Let the group work it out.

   B. Incorporate group recommendations, but see that objectives are met.

   C. Redefine goals and supervise carefully.

   D. Allow group involvement in setting goals, but do not push.

10. Your subordinates, usually able to take responsibility, are not responding to your recent redefining of standards.

   A. Allow group involvement in redefining standards, but do not push.

   B. Redefine standards and supervise carefully.

   C. Avoid confrontation by not applying pressure.

   D. Incorporate group recommendations, but see that new standards are met.

11. You have been promoted to a new position. The previous supervisor was uninvolved in the affairs of the group. The group has adequately handled its tasks and direction. Group interrelations are good.

    A. Take steps to direct subordinates toward working in a well-defined manner.

    B. Involve subordinates in decision making and reinforce good contributions.

    C. Discuss past performance with the group and then examine the need for new practices.

    D. Continue to leave the group alone.

12. Recent information indicates some internal difficulties among subordinates. The group has a remarkable record of accomplishment. Members have effectively maintained long-range goals and have worked in harmony for the past year. All are well qualified for the task.

    A. Try out your solution with subordinates and examine the need for new practices.

    B. Allow group members to work it out themselves.

    C. Act quickly and firmly to correct and redirect.

    D. Make yourself available for discussion, but be careful of hurting boss-subordinate relations.

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DETERMINING LEADERSHIP STYLE AND STYLE RANGE

SITUATIONS	ALTERNATIVE ACTIONS			
1	A	C	B	D
2	D	A	C	B
3	C	A	D	B
4	B	D	A	C
5	C	B	D	A
6	B	D	A	C
7	A	C	B	D
8	C	B	D	A
9	C	B	D	A
10	B	D	A	C
11	A	C	B	D
12	C	A	D	B
QUADRANT	(1)	(2)	(3)	(4)
QUADRANT SCORES	2	-1	4	2

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BASIC LEADERSHIP BEHAVIOR STYLES

(HIGH) ← RELATIONSHIP BEHAVIOR — (LOW)

QUADRANT 3 4 HIGH RELATIONSHIP AND LOW TASK	QUADRANT 2 -1 HIGH TASK AND HIGH RELATIONSHIP
QUADRANT 4 2 LOW RELATIONSHIP AND LOW TASK	QUADRANT 1 2 HIGH TASK AND LOW RELATIONSHIP

(LOW) —— TASK BEHAVIOR ——→ (HIGH)

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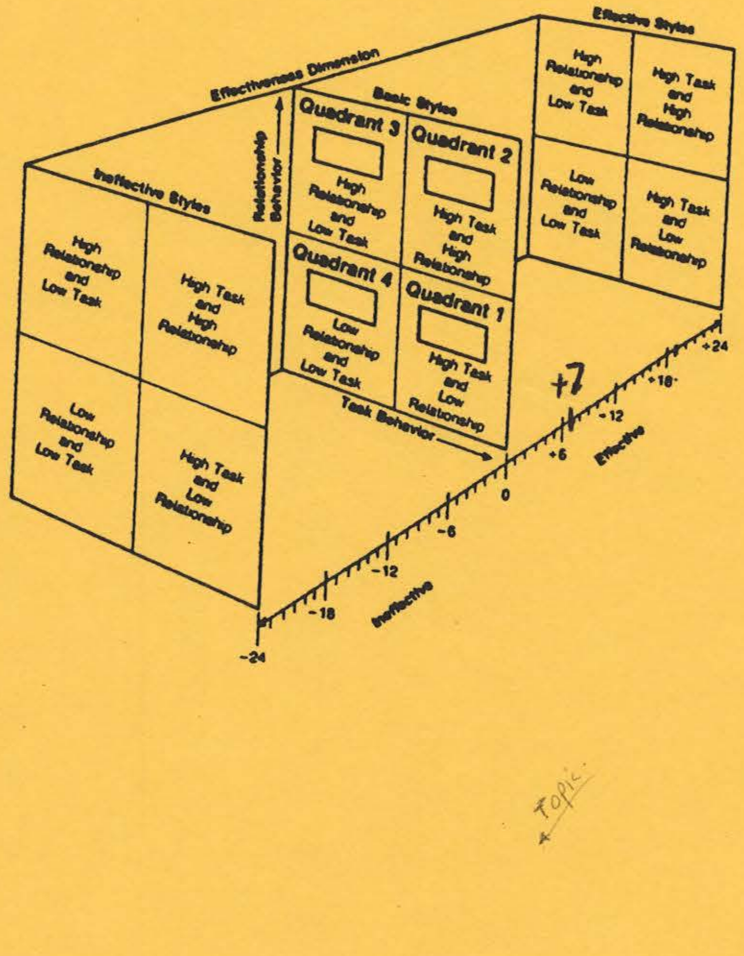
DETERMINING STYLE ADAPTABILITY

ALTERNATIVE ACTIONS

SITUATIONS	A	B	C	D
1	+2	-1	+1	-2
2	+2	-2	+1	-1
3	+1	-1	-2	+2
4	+1	-2	+2	-1
5	-2	+1	+2	-1
6	-1	+1	-2	+2
7	-2	+2	-1	+1
8	+2	-1	-2	+1
9	-2	+1	+2	-1
10	+1	-2	-1	+2
11	-2	+2	-1	+1
12	-1	+2	-2	+1
SUB-TOTAL	2 +	-1 +	4 +	2

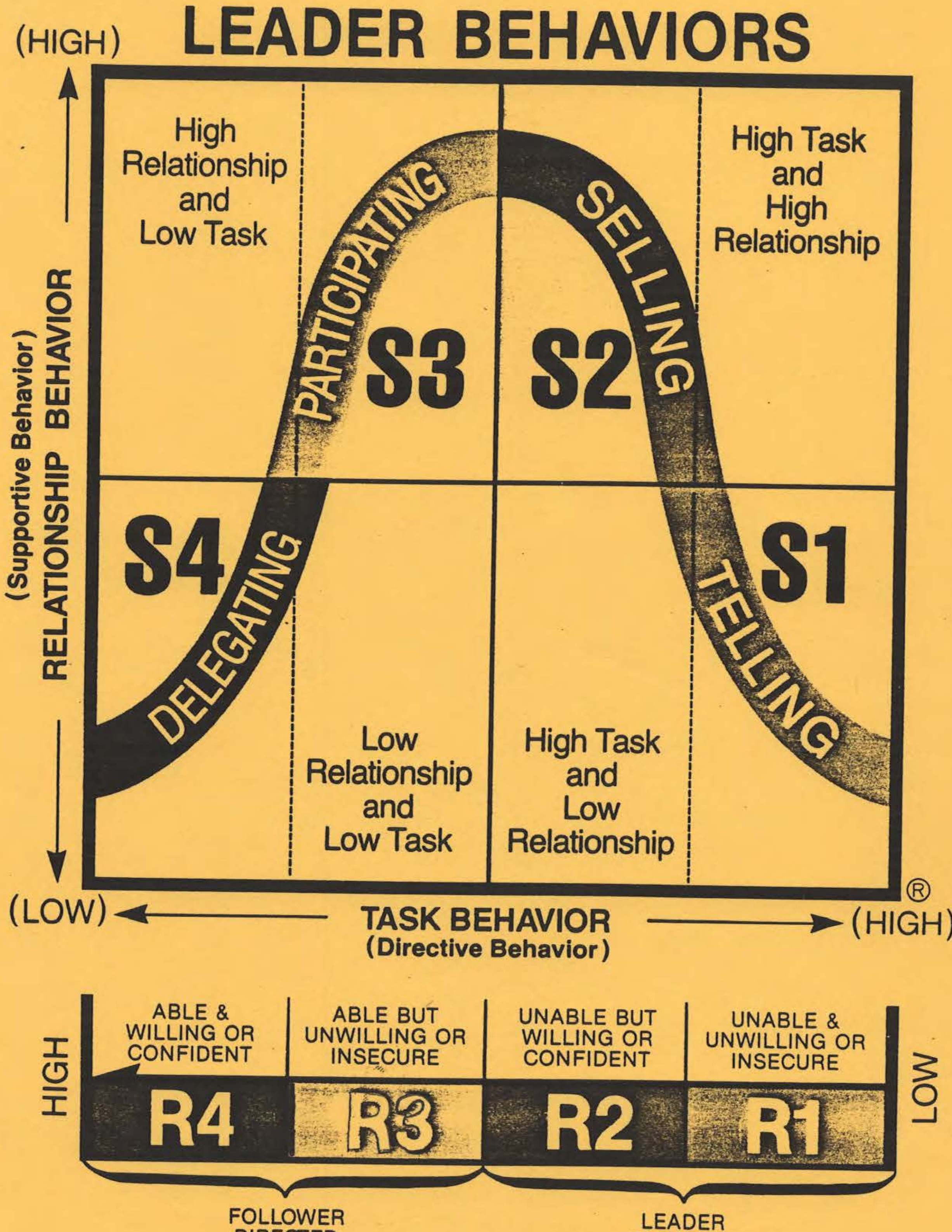
= TOTAL 7

DETERMINING STYLE ADAPTABILITY



Topic

SITUATIONAL LEADERSHIP™



RE

FOLLOWER READINESS

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Module 9 - Conflict Management: Nature, Arenas, Considerations

Behavioral Objectives:

At the end of this session, in accordance with information presented and practice experienced, you will be able to:

1. Define conflict and the two varieties possible.
2. Describe the basic underlying relationship of the parties to a conflict.
3. Identify two possible costs of conflict. destructive - constructive.
4. Name four different types of conflict in which one can become involved.
5. Specify four key features useful in understanding conflict situations.
6. Identify five developmental stages which characterize all conflicts when related to time.
7. Name three responses to conflict.
8. Identify five different ways in which people respond to conflict.
9. Specify three roles the manager can adopt in dealing with conflict. As a party to conflict, as a mediator of conflict,
10. Identify three levels of response to conflict, according to Transcendence theory.
11. Explain why the ability to self-disclose may influence one's success in managing conflict.

Practicum Suggestions:

1. Select a current or recent conflict and identify as many characteristics as you can, using the distinctions listed in the Behavioral Objectives (above).

2. Review the results of your Self-Disclosure questionnaire with the person(s) you had in mind when completing it. See whether the individual(s) agree fully, largely or in part with your rating involving them. Note your reactions and any changes in your behavior which appear to be warranted.

3. Write an appraisal of your own key characteristics in managing conflict, using the list of Behavioral Objectives as a guide.

4. Select a recent incident involving a conflict between you and your boss or another employee. Report your observations and areas in which you differed and agreed.

SELF-DISCLOSURE QUESTIONNAIRE: SELF-INVENTORY OF PRESENT "SHARING" PRACTICES

Disclosing oneself to others is one of the most important concepts in human relations training. Through the process of feedback and self-revelation one can make himself known to others and learn how others see him.

Self-disclosure may be either verbal or nonverbal. Each person reveals himself not only through what he says, but through what he does, how he acts and reacts, and through such means as mannerisms or personal style.

One human relations goal is to encourage an individual to move toward self-disclosure, allowing new information about himself to become apparent to others. To do so, a person must be able to accept and trust both himself and others.

Different people have different degrees of readiness to confide in others. It has been suggested (Jourard, 1958) that accurately portraying oneself to others is an identifying criterion of a healthy personality. A neurotic individual, on the other hand, may be incapable of knowing his "real" self and of revealing that self to others.

The "Self-Disclosure Questionnaire" raises and deals with certain questions. For example, do we disclose ourselves differently to different "target" persons, such as our Boss, Secretary, or Spouse ? Do subjects tend to disclose certain areas of information about themselves more fully than other areas? Do gender and status differences have any bearing on self-disclosure patterns?

Preliminary findings from the use of this questionnaire show that self-disclosure is measurable and that this method of assessing it has some validity. Many more questions about self-disclosure are open for exploration, based on relevant factors: groups, target persons, aspects of self, and individual differences.

This questionnaire can be useful as a self-inventory in personal growth laboratories or as an outcome measure in research on human relations training.

[adapted from: The 1974 Annual Handbook for Group Facilitators, J. William Pfeiffer and John E. Jones, Editors. (San Diego: University Associates, 1974), p. 103.]

References

Jourard, S.M. Personality Adjustment: An approach through the study of healthy personality. New York: Macmillan, 1958. (2nd ed., 1963).

Jourard, S.M. The Transparent Self. (Revised) New York: D. Von Nostrand, 1971.

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SELF-DISCLOSURE QUESTIONNAIRE
ANSWER SHEET

Use the following rating scale for each item on the "Self-Disclosure Questionnaire:

- 0: Have told the other person nothing about this aspect of me.
- 1: Have talked in general terms about this item. The other person has only a general idea about this aspect of me.
- 2: Have talked in full and complete detail about this item to the other person. He knows me fully in this respect and could describe me accurately.
- X: Have lied or misrepresented myself to the other person so that he has a false picture of me.

TARGET PERSON

ATTITUDES AND OPINIONS		My Boss	My Secretary	Male Subord. /Peer	Female Subord. /Peer	Spouse
1. What I think and feel about religion; my personal religious views.	1.					
2. My personal opinions and feelings about other religious groups than my own, e.g., Protestants, Catholics, Jews, atheists, Buddhists, etc.	2.					
3. My views on communism.	3.					
4. My views on the present government--the president, government, policies, etc.	4.					
5. My views on my own personal budget/spending/saving priorities.	5.					
6. My personal views on drinking.	6.					
7. What I think about people who use drugs.	7.					
8. My personal standards of beauty and attractiveness in men/women--what I consider to be attractive in a man/woman.	8.					
9. The things that I regard as desirable for a man or woman to be--what I look for in a man or woman.	9.					
10. My feeling about how parents ought to deal with children.	10.					

SUBTOTAL:

(Post to Scoring Sheet)

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TARGET PERSON

TASTES AND INTERESTS

		My Boss	My Secretary	Male Subord. /Peer	Female Subord. /Peer	Spouse
1. My favorite foods, the ways I like food prepared, and my food dislikes.	1.	____	____	____	____	____
2. My favorite beverages and the ones I don't like.	2.	____	____	____	____	____
3. My likes and dislikes in music.	3.	____	____	____	____	____
4. My favorite reading matter.	4.	____	____	____	____	____
5. The kinds of movies that I like best; the TV shows that are my favorites.	5.	____	____	____	____	____
6. My tastes in clothing.	6.	____	____	____	____	____
7. The style of house and the kinds of furnishings that I like best.	7.	____	____	____	____	____
8. The kind of party or social gathering that I like best, and the kind that would bore me or that I wouldn't enjoy.	8.	____	____	____	____	____
9. My favorite ways of spending spare time, e.g., hunting, reading, cards, sports events, parties, dancing, etc.	9.	____	____	____	____	____
10. What I would appreciate most for a present.	10.	____	____	____	____	____
SUBTOTAL:						

(Post to Scoring Sheet)

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TARGET PERSON

WORK		My Boss	My Secretary	Male Subord. /Peer	Female Subord. /Peer	Spouse
1. What I find to be the worst pressures and strains in my work.	1.					
2. What I find to be the most boring and unenjoyable aspects of my work.	2.					
3. What I enjoy most and get the most satisfaction from in my present work.	3.					
4. What I feel are my shortcomings and handicaps that prevent me from working as I'd like to, or that prevent me from getting further ahead in my work.	4.					
5. What I feel are my special stong points and qualifications for my work.	5.					
6. How I feel that my work is appreciated by others (e.g. boss, fellow workers, teacher, spouse, etc.)	6.					
7. My ambitions and goals in my work.	7.					
8. My feelings about the salary or rewards that I get for my work.	8.					
How I feel about the choice of career that I have made--whether or not I'm satisfied with it.	9.					
10. How I really feel about the people whom I work for, or work with.	10.					
	SUBTOTAL:					

(Post to Scoring Sheet)

MONEY		My Boss	My Secretary	Male Subord. /Peer	Female Subord. /Peer	Spouse
1. How much money I make at my work.	1.					
2. Whether or not I owe money; if so, how much.	2.					
3. Whom I owe money to at present or whom I have borrowed from in the past.	3.					
4. Whether or not I have savings, and the amount.	4.					
5. Whether or not others owe me money, the amount, and who owes it to me.	5.					
6. Whether or not I gamble; if so, the way I gamble and the extent of it.	6.					
7. All of my present sources of income--wages, fees, allowance, dividends, etc.	7.					
8. My total financial worth, including property, savings, bonds, insurance, etc.	8.					

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		TARGET PERSON				
		My Boss	My Secretary	Male Subord. /Peer	Female Subord. /Peer	Spouse
9. My most pressing need for money right now, e.g., outstanding bills, some major purchase that is desired or needed.	9.					
10. How I budget my money--the proportion that goes to necessities, luxuries, etc.	10.					
SUBTOTAL:						

(Post to Scoring Sheet)

BODY

		My Boss	My Secretary	Male Subord. /Peer	Female Subord. /Peer	Spouse
1. My feelings about the appearance of my face--things I don't like, and things that I might like about my face and head--nose, eyes, hair, teeth, etc.	1.					
How I wish I looked: my ideals for overall appearance.	2.					
3. What kinds of clothes I prefer (color/fabric/design/etc.)	3.					
4. Any problems and worries that I had with my appearance in the past.	4.					
5. Whether or not I now have any health problems--e.g., trouble with sleep, digestion, heart condition, allergies, headaches, etc.	5.					
6. Whether or not I have any long-range worries or concerns about my health, e.g., cancer, ulcers, heart trouble.	6.					
7. My past record of illness and treatment.	7.					
8. Whether or not I now make special efforts to keep fit, healthy, and attractive, e.g., calisthenics, diet.	8.					
9. My present physical measurements, e.g., height, weight, waist, etc.	9.					
10. How I feel about wearing glasses--how I look in them.	10.					
SUBTOTAL:						

(Post to Scoring Sheet)

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TARGET PERSON

PERSONALITY

		My Boss	My Secretary	Male Subord. /Peer	Female Subord. /Peer	Spouse
1. The aspects of my personality that I dislike, worry about, that I regard as a handicap to me.	1.					
2. Which feelings, if any, that I have trouble expressing or controlling.	2.					
3. Habits I have now that I am trying/ would like to change.	3.					
4. The importance I attach to the opinions of others (general).	4.					
5. Things in past or present that I feel ashamed of and guilty about.	5.					
6. The kinds of things that make me just furious.	6.					
7. What it takes to get me feeling really depressed or blue.	7.					
8. What it takes to get me really worried, anxious, and afraid.	8.					
What it takes to hurt my feelings deeply.	9.					
10. The kinds of things that make me especially proud of myself, elated, full of self-esteem or self-respect.	10.					
	SUBTOTAL:					

(Post to Scoring Sheet)

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SELF-DISCLOSURE QUESTIONNAIRE SCORING SHEET

Instructions: Copy the Sub-Totals for each Target Person, from each self-disclosure Aspect, onto the Scoring Sheet below. Then total across (maximum 100) and down (Maximum 120).

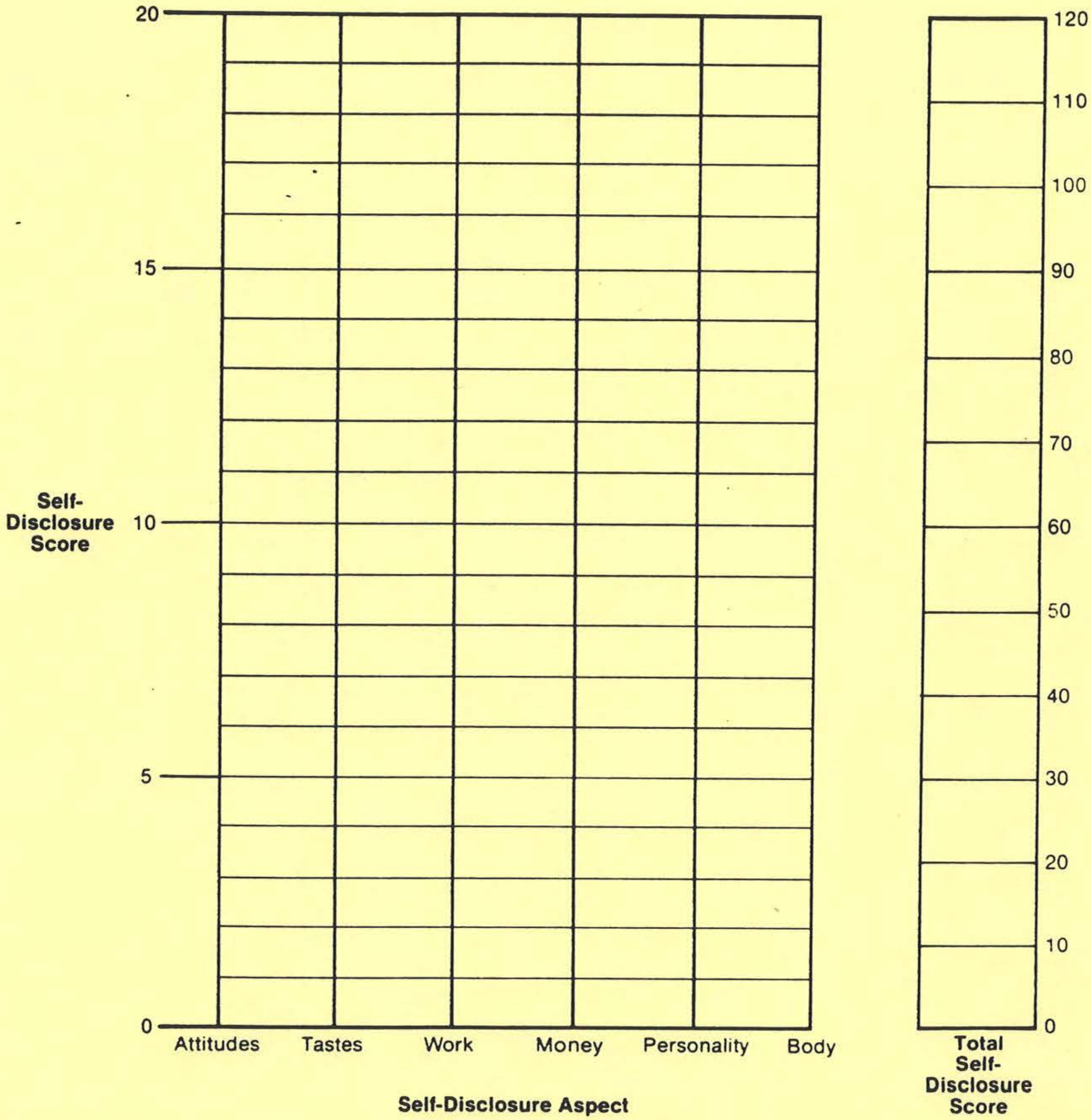
	TARGET PERSON					
ASPECT	My Boss	My Secretary	Male Subord. /Peer	Female Subord. /Peer	Spouse	Total (Max = 100)
Attitudes and Opinions	____	____	____	____	____	____
Tastes and Interests	____	____	____	____	____	____
Work	____	____	____	____	____	____
Money	____	____	____	____	____	____
Personality	____	____	____	____	____	____
Body	____	____	____	____	____	____
Total (Max = 120)	____	____	____	____	____	____ Max = 600

SELF-DISCLOSURE QUESTIONNAIRE PROFILE SHEET

Instructions: Draw profiles for each of your "target" persons on the chart below. (You may wish to use different colored pencils.)

On the scale representing your total self-disclosure scores, write the *names* of the target persons at their appropriate level.

Interpretation Suggestions: Studying the chart below, (1) look for similarity/dissimilarity of profiles between target persons, and (2) look for high and low self-disclosure aspects across target persons.



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Module 10 - MANAGING DIVERSITY

Behavioral Objectives:

At the end of this session, in accordance with information presented and practice experienced, you will be able to:

1. Identify five issues that X's have with "O-ness."

2. Identify seven situational and structural factors that inhibit an O's effectiveness.

3. Describe how X's may benefit by altering these factors.

4. Identify five means by which O's can enhance their communication with X's concerning issues which inhibit the O's effectiveness.

5. List the three federal or state agencies that enforce Equal Employment Opportunity laws.

6. Explain the difference between Equal Employment Opportunity and Affirmtive Action.

7. Identify five major federal or state Equal Employment Opportunity laws.

EQUAL EMPLOYMENT OPPORTUNITY LAWS

FEDERAL

Title VII of the Civil Rights Act of 1964. Prohibits discrimination based on race, sex, color, religion, and national origin by employers of 15 or more persons. Coverage includes all aspects of employment, such as hiring, placement, training, promotion, termination, and layoff.

Age Discrimination in Employment Act of 1967. Prohibits discrimination based upon age against individuals who are between 40 and 70 years old. (Note that the act does allow a company to impose age limitations for apprenticeship training programs.)

Equal Pay Act of 1963. Prohibits differences in pay between men and women who are performing substantially similar work under substantially similar conditions. 7

Rehabilitation Act of 1973. Prohibits companies doing business with the government from discriminating against qualified persons because of a handicap or history of disability. Further, companies must agree to actively seek to provide employment opportunities for qualified individuals who are handicapped or disabled.

Vietnam Era Veterans Readjustment Assistance Act of 1972. Requires that companies doing business with the government give special emphasis to the employment of qualified disabled veterans and veterans of the Vietnam Era by posting job openings with the state employment service as the first source of outside recruitments.

EQUAL EMPLOYMENT OPPORTUNITY LAWS

NEW JERSEY LAWS

The NEW JERSEY LAW AGAINST DISCRIMINATION (also known as TITLE 10 of the N.J. Statutes Annotated) indicates that it is unlawful to discriminate against an individual because of that individual's race, creed, color, national origin, ancestry, age, marital status, sex, handicap or because of that individual's liability for service in the Armed Forces of the United States.

TITLE 11 of the CIVIL SERVICE LAWS states that no employee or applicant for employment to the classified service shall be discriminated against on account of any arrest nor on account of race, creed, color, national origin, ancestry, marital status, sex or political or religious opinions or affiliations. (Individuals may be questioned about a criminal record, but cannot be denied employment solely because of a criminal record unless the criminal record includes a conviction for a crime which relates adversely to the employment sought.) Employees and applicants for employment with corrections or law enforcement agencies may be questioned as to any arrest.

EXECUTIVE ORDER NO. 61 of 1977 and CHAPTER 124 OF THE LAWS OF 1981 (which supplements the Executive Order) require that State agencies comply with all state and federal civil rights laws and regulations. The head of each department/agency and state college is responsible for ensuring equal opportunity for all employees and applicants in all areas of employment. This law also mandates that the Division of Equal Employment Opportunity and Affirmative Action, within the Department of Personnel, is responsible for developing and administering a state-wide affirmative action program and ensuring that all departments/agencies and state colleges comply with all laws and regulations relating to equal employment opportunity.

Questions about "O"-ness

1. Have you ever been an "O"?

Yes, while attending highschool

2. What did you like about it?

~~High~~ quality

Excellent ~~Good~~ standards of school, Good atheletic teams

3. What did you dislike about it? What did you find hard?

- Upper crust atmosphere.
- Money was the focus of education
- Priest's taking tuition to take vacations in Aruba.
- Most of students ~~do~~ came from big money backgrounds.

"O" and "X" Experiences

(Note: Answer both questions, whether you see yourself as an "X" or an "O".)

1. What is it like to be an "O" in this organization?

2. What is it like to be an "X" in this organization?

85
5
425

85
6
510

$\boxed{5.54}$
8.5 / 470
425
450
510
400

Action Options

If You are an "X"

Increase awareness of what it means to be an "X" or an "O" and learn about "X-O" relationships.

Talk with other "X's" about "X-ness" and its impact on the "O".

Scrutinize own behavior toward "O's":

- What assumptions do you make about "O's" roles and capabilities?
- Who receives how much of what types of attention (e.g. support, scrutiny, performance appraisal, advice)?
- Whom do you trust to do the important jobs?
- Whom do you consider suitable for what types of jobs or assignments?
- Who gets the training opportunities?
- Are there things you discuss with only some kinds of people? Are any of these critical to success?

Ask the "O's" what they are experiencing; what they need.

Confront areas of discomfort (e.g., Can you tell an "O" that it isn't dressing properly?) How do you relate to an "O" socially?

Be sensitive to how "O's" might feel about some of the "X's" jokes or conversation.

Consider what resources, skills, information people need to succeed and make sure that everyone has equal access to these things.

Help "O's" get into the "X"-network.

Avoid "scapegoating" "O's"; think twice before blaming "O's" for other problems in the group.

Step out of the "X" group to approach an "O" as an individual; it's easier to get to know each other and get comfortable when an "O" has fewer "X's" to contend with.

Action Options

If You Are the Manager of an "O"

Avoid over-protection or over-exposure.

Give assignments that provide opportunity to demonstrate competence and to take risks — but not beyond the "O's" capabilities.

Avoid "O-slots"; give "O's" a chance at non-stereotypical tasks.

Help counter "mistaken identities" by letting people know about the "O's" role and competence.

Understand that "O's" are under more pressure than "X's".

Help "O's" find support

- other "O's"
- sponsors
- back-ups

Avoid drawing too much attention to the "O."

Don't force the few "O's" together if it isolates them from the "X's."

Mix "O's" and "X's" together in groups and meetings whenever possible.

Hire more "O's" wherever possible.

Encourage the "X's" not to make "O's" the butt of jokes.

Focus the "X's" attention on what they might have in common with 'O's."

Give resources to the "O's", or help them so that "X's" need "O's."

Seek occasions where "X's" and "O's" can engage in dialogue about their experiences.

Develop diplomatic skills for handling/confronting awkward "X-O" interactions.

Seek opportunities to build networks that can serve both "X's" and "O's."

Pair "O's" with old-hand "X's" so that "O's" can learn appropriate behavior and tricks-of-the-trade.

Action Options

If You Are an "O"

Recognize the pressures of "O-ness"; find ways to relax and get away from the pressures from time to time.

Avoid unreasonable blame for difficulties; recognize the situation as a source of pressure.

Build support networks with other "O's".

Talk with other "O's" about "O-ness"; share coping strategies.

Talk with other "O's" about skills, information and resources which are needed in order to be effective.

Learn the rules of the system — how people get ahead. Keep developing the skills needed for the job; remember that competence is the "bottom line."

Carry or wear "recognition signs" that make it clear that you are there to do business.

Search out opportunities to demonstrate competence; e.g., special projects, task forces, etc. Learn how to publicize your skills and job competencies.

Avoid overload from too much service as a representative; preserve energy for hard work at the job.

Talk with "X's," use them as learning resources; treat them as "experts" so they feel motivated to help.

Offer resources or help to the "X's" so that "X's" need you.

Seek out "X's" one by one to develop relationships, rather than always facing them as a group.

Seek occasions where "X's" and "O's" can engage in dialogue about their experiences.

Develop diplomatic skills for handling/confronting awkward "X-O" interactions.

Develop a good sense of humor.

Avoid making an issue out of every insult; learn to pick your battles.

Seek opportunities to join in "X" networks so that these networks may serve both "X's" and "O's".

Emphasize what you have in common with some of the "X's" rather than what makes you different.

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MANAGING FOR IMPROVED SERVICE & PRODUCTIVITY

STUDENT HANDOUTS

FOR CPM LEVEL – 3

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MBO- Results

What and when.

Goals - mini-mission statements

Objectives -

MODULE 11 - ORGANIZATIONAL PERFORMANCE MANAGEMENT

Behavioral Objectives for Management By Objectives:

At the end of the session, in accordance with information presented and practice experienced, you will be able to:

1. Explain how Management By Objectives is related to increased organizational effectiveness.
2. Define the philosophy and process of Management By Objectives.
3. Identify and explain the six steps of the MBO process.
4. Apply the MBO process.
5. Write an objective demonstrating the four basic criteria for a quality objective.

Practicum Suggestions

1. Develop a mission statement for your unit which is approved by your supervisor.
2. Conduct a survey with three of your employees, asking them to write a mission statement for your unit. Report on similarities and differences between your understanding of the mission and that of your staff. Note how this affects the work of your unit.
3. Develop a goal and objective for an upcoming work project.
4. Analyze the goals and objectives for your unit. Choose one set and determine if it meets the criteria for goals and objectives established in class. Rewrite where necessary.
5. Develop a "customer satisfaction" instrument that you could give to the users of your service which would test the effectiveness of your unit.
6. Develop a practicum of your own and obtain approval from your instructor.

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Sample Goals and Objectives

GOAL: To develop and implement more effective program measures.

OBJECTIVE: By January 1, new measurement methods, in line with National criteria, for the two most critical program areas as determined by unit staff, will be developed and implemented, at a cost not to exceed 200 work hours.

GOAL: To convert personnel bureau records to microfiche.

OBJECTIVE: Bureau records will be converted to microfiche by October, 1988 at a contract cost of $15,100 and a coordination cost not to exceed 200 work hours.

GOAL: To ensure the food stamp program is in compliance with federal and state regulations.

OBJECTIVES: A system of validating eligibility of food stamp applicants will be established by January 1 that will ensure a minimum of 95% accuracy in accordance with federal and state guidelines at an implementation cost not to exceed 200 work hours and with no increase in current budget for maintenance.

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GUIDELINES FOR WRITING OBJECTIVES

Under normal circumstances, a well-formulated objective meets the following criteria:

1. It is usually written as a declarative statement describing the conditions of goal accomplishment; another practice is to start the objection with the word to followed by an action or accomplishment verb (e.g., to produce, to eliminate).
2. It specifies a single key result to be accomplished.
3. It specifies a target date for its accomplishment.
4. It specifies maximum cost factors.
5. It is as specific and quantitative as possible (and hence measurable and verifiable).
6. It specifies only the what and when; it avoids venturing into the why and how.
7. It relates directly to the accountable manager's roles and missions and to higher-level roles, missions, and objectives.
8. It is rapidly understandable by those who will be contributing to its attainment.
9. It is realistic and attainable, but still represents a significant challenge.
10. It provides maximum payoff on the required investment in time and resources, as compared with other objectives being considered.
11. It is consistent with the resources available or anticipated.
12. It avoids or minimizes dual accountability for achievement when joint effort is required.
13. It is consistent with basic organizational policies and practices.
14. It is willingly agreed to by both superior and subordinate, without undue pressure or coercion.
15. It is recorded in writing, with a copy kept and periodically referred to by both superior and subordinate.

George L. Morrisey, Management by Objectives and Results in the Public Sector, (Addison-Wesley Publishing Company), 1977 Reading, Mass.).

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OBJECTIVES

1. The term OBJECTIVE means RESULTS.

The term objective has many uses and, thus, many meanings. It is often used to indicate and be synonymous with purpose, intention, desire, reason, etc. It is used here to indicate a result of some significant activity. In this sense, it is similar to the words accomplishment or achievement.

2. Objectives distinguished from Activities:

Activities become means to an end (the result) in management by objectives, planning by objectives, and evaluation by objectives. The distinction is similarly made between a "bus station" (objective) and the "bus route" (path of activity), between a book (objective) and writing a book (activity).

3. Objectives and the Future:

Since an objective is a result to be accomplished, it must focus on the FUTURE. Setting objectives is a "futurist function." Care in expressing objectives will often prevent confusion between results and activities.

4. Four characteristics of a good objective:

An OBJECTIVE must be SPECIFIC.

An OBJECTIVE must be MEASURABLE.

An OBJECTIVE must be DESIRABLE.

An OBJECTIVE must be ATTAINABLE.

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OBJECTIVES EXERCISE

Are these objectives measurable? If not, rewrite them to fulfill the criterion of measurability. Objectives may be measured by quality, quantity, manner of performance, time and/or cost or value.

Yes/No

1. The quality of next year's catalogue will be improved. ______

____

____

____

2. Client inquiries about available agency services will be increased by 10% over the next 6 months. ______

____

____

____

3. By October, the delay in the preparation of the budget figures will be reduced from the 10th day of the month to the 5th of the month with no increase in staff. ______

____

____

____

4. By January the efficiency of the mailroom will be increased by 10%. ______

____

____

____

5. All poverty will be eradicated by next year. ______

____

____

____

6. A one-story, 5,000 square foot, air-conditioned office building will be erected next to the main office by July 1, 1989 at a cost not to exceed $750,000. ______

____

____

____

7. The cost of the clerical staff will be reduced by 3% within 3 months. ______

____

____

____

8. The quality of caseworker training will be significantly improved while the time required to fully train them will be decreased from 9 months to 6 months. ______

____

____

____

9. A training program will be established for preparing managers for the new approaches to improved human relations. ______

____

____

____

10. The office will be arranged for the more efficient use of space by January 25. ______

____

____

____

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MBO Worksheet

MISSION/UNIT STATEMENT:

GOAL:

OBJECTIVE:

GOAL:

OBJECTIVE:

ACTIVITIES:

or mission,

Benefits of Managing by Objectives (or purpose)

Where Management by Objectives has been used as an approach to the total job of managing, the benefits are:

1.	Dealing with Results	-	If Management by Objectives has become an integral part of the management process, it enables an organization to appraise managers' performance and to pay for the real job they are hired to do--manage successfully.
2.	Improving Performance	-	Produces results--results that show up at the bottom line.
3.	Better Planning	-	Planning is done in terms of <u>results</u>, rather than activities.
4.	Self-Adjustment	-	Knowing results desired and how they plan to achieve these results, subordinates have a better basis for keeping track of progress.
5.	Dealing with Change	-	Because of emphasis on careful advanced planning, organizations can respond to difficulties more rapidly and flexibly.
6.	Self-Control	-	Shift from control over people to control over operations.
7.	Individual Development	-	Since both superior and subordinate have a full appreciation of desired results, performance review becomes a situation in which the two can play more nearly equal roles. Results: A mutual search for better ways to manage.
8.	Better Cooperation	-	Managerial relationships improve across functional lines through better understanding of difficulties others face and by consideration of the total effort.
9.	Creativity	-	Helps to produce innovation.

MANAGEMENT BY OBJECTIVES

Managers have always been challenged to produce results, but the modern manager must produce them in a time of rapid technological and social change. Managers must be able to use this rapid change to produce their results: they must use the change and not be used or swallowed up by it. Both they and the organizations they manage need to anticipate change and set aggressive, forward-looking goals in order that they might ultimately begin to make change occur when and where they want it to and, in that way, gain greater control of their environment and, in fact, their own destinies.

The most important tool the manager has in setting and achieving forward-looking goals is people, and to achieve results with this tool he must be able, first, to instill in his workers a sense of vital commitment and desire to contribute to organizational goals; second, to control and coordinate the efforts of his workers toward goal accomplishment and, last, to help his subordinates to grow in ability so that they can make ever greater contributions.

In hopes of increasing individual production and contribution, managers have resorted to many different approaches; they have tried to get commitment and hard work through economic pressure an rewards, they have sought greater production by teaching the worker the best or most efficient way to do a job, and they have tried to cajole their employees into a sense of well being, hoping that their comfort would produce a desire to contribute. All of these approaches had some success, but none succeeded totally in injecting enough of that element of vitality and adaptability into organizational life to allow it to thrive and remain viable in this age of change and socio/technological turmoil.

DEFINITION

The "Management by Objective" (MBO) approach, in the sense that it requires all managers to set specific objectives to be achieved in the future and encourages them to continually ask what more can be done, is offered as a partial answer to this question of organizational vitality and creativity. As a term, <u>Management by Objectives</u> was first used by Peter Drucker in 1954 and, as a management approach, has been further developed by many management theoreticians, among them, Douglas McGregor, George Odiorne, and John Humble. Essentially, MBO is a process or system designed for managing managers in which a superior and his or her subordinate sit down and jointly set specific objectives to be accomplished within a set time frame and for which the subordinate is then held directly responsible.

MANAGEMENT BY OBJECTIVES

All organizations exist for a purpose and to achieve that purpose, top management sets goals and objectives that are common to the whole organization. In organizations not using the MBO approach, most planning and objective setting to achieve these common organizational goals is downward directed. Plans and objectives are passed down from one managerial level to another and subordinates are told what to do and what they will be held responsible for. The MBO approach injects an element of dialogue into the process of passing plans and objectives from one organizational level to another. The superior brings specific goals and measures for his subordinate to a meeting with this subordinate, who also brings specific objectives and measures which he sees as appropriate or contributing to better accomplishment of his job. Together they develop a group of specific goals, measures of achievement, and time frames in which the subordinate commits himself to the accomplishment of those goals. The subordinate is then held responsible for the accomplishment of his goals. The manager and his subordinate may have occasional progress reviews and re-evaluation meetings, but at the end of the set period of time, the subordinate is judged on the results he has achieved. He may be rewarded for his success by promotion or salary increases, or he may be fired or transferred to a job that will give him needed training or supervision. Whatever the outcome, it will be based on his accomplishment of the goals he had some part in setting and had committed himself to achieving.

VARIATIONS IN PRACTICE

In practice this MBO approach, of necessity, varies widely, especially in regard to how formalized and structured it is in a given organization and to what degree subordinates are allow to set their own goals. In some organizations MBO is a very formal management system with precise review scheduling, set evaluation techniques, and specific formats in which objectives and measures must be presented for review and discussion. In other organizations it may be so informal as to be described simply as, "the way we do things when we get together and decide what we've done and what we're going to do." However, in most organizations MBO takes the form of formal objective-setting and appraisal meetings held on a regular basis, often quarterly, semi-annually, or annually.

Even more situational than the degree of formality and structure is the degree to which a subordinate is allowed to set his own goals. In this regard the kind of work that an organization does plays a large part in determining how much and on what level a subordinate will be allowed to participate in formulating his own goals. In some organizations a subordinate is almost told what he needs to do and simply asked if he will commit himself to achieving this goal, while in others he is given great latitude and room for innovation. Contrast, for example, the production situation where a superior informs a subordinate that he must make so many widgets over the next six months and simply asks which part of that production burden the subordinate is willing to shoulder, to a university situation where a department head informs a subordinate of the need to develop more community-oriented programs and asks how the subordinate thinks he can contribute to this goal. In the latter circumstance, the subordinate has much more room for innovation and personal contribution, as well as a greater part in designing the specifics of a community-centered educational program than did the production worker who was simply asked which part of a very specific activity he cared to commit himself to.

POTENTIAL ADVANTAGES

No matter how the MBO approach looks in a given organization, it is again essentially a process which helps to (a) direct managers' attention toward results, (b) force members of the organization to commit themselves to specific achievement, and (c) facilitate their thinking in terms of their organization's future needs and the setting of objectives to meet them. In addition, the MBO approach can supply the manager with greater measures of three of the tools needed to make the best use of our greatest resource--people. A manager can:

1. Gain greater commitment and desire to contribute from subordinates by (a) allowing them to feel that the objectives they are working toward were not just handed to them, but rather are really theirs because they had a part to play in formulating them, (b) giving the subordinates a better sense of where they fit into the organization by making clear how the subordinates' objectives fit into the overall picture, and (c) injecting a vitality into organizational life that comes with the energy produced as workers strive to achieve a goal to which they have taken the psychological and sometimes economic risk to commit themselves.

2. Gain better control and coordination toward goal accomplishment by (a) having a clearer picture of who is doing what and how the parts all fit together, (b) having subordinates who are more likely to control and coordinate their own activities because they know what will help and what will hinder their goal achievement, and (c) being able to see which of the subordinates consistently produce and which do not.

3. Gain an increased ability to help subordinates develop by (a) being better able to see their strengths and weaknesses in operation on a specific objective and (b) simply using a management approach which teaches them to try to anticipate concrete measures that will tell them when they have achieved their goal.

POTENTIAL FOR MISUSE

However, MBO can easily be misused and often is. What is supposed to be a system that allows for dialogue and growth between boss and subordinate, with a view to achieving results, often degenerates into a system where the boss puts constant pressure on the subordinate to produce results and forgets about using MBO for commitment, desire to contribute, and management development. Sometimes even well-intentioned superiors misuse MBO because they do not have the interpersonal skills or knowledge of human needs to keep their appraisal sessions from becoming critical, chewing-out periods. Finally, many managers have a tendency to see MBO as a total system which, once installed, can handle all management problems. This has led to forcing issues on the MBO system which it is not equipped to handle and thereby frustrating whatever good effects it might have on the issues with which it is designed to deal.

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MODULE 12 - INDIVIDUAL PERFORMANCE MANAGEMENT

Behavioral Objectives for Performance Appraisal (Planning):

At the end of the session, in accordance with information presented and practice experienced, you will be able to:

- Objectives are Troublesome
- Sensitive Interpersonal Values Raised
- May have to play god
- time consuming
- no commitment from above
- payoff uncertain.

1. Identify and explain at least five major barriers to performance appraisal.

2. Identify the benefits and commitments associated with a performance appraisal system.

3. Describe the role of the supervisor in appraising performance.

4. Describe the major purpose for performance appraisal.
Appraise performance not people

5. Name and explain the three steps in a performance appraisal system.
a. Performance Plan
b) Inplemetation
c) evaluation.

6. Develop major work assignments from a position description.

7. Differentiate between an activity and a result.

8. Write performance standards.

Practicum Suggestions

1. Review your own performance plan. Determine if it meets the criteria discussed in class. Correct where necessary.

2. Review an employee's performance plan. Determine if it meets the criteria discussed in class. Correct where necessary.

3. Develop major work assignments for your position. Write performance standards for one major work assignment.

4. Develop major work assignments for an employee. Write performance standards for one major work assignment.

positive

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COSTS/RESPONSIBILITIES OF PERFORMANCE APPRAISAL SYSTEM

I. Employee

1. Make a personal commitment to the process.
2. Doing the best job he/she is capable of.
3. Seeking out opportunities for development which will benefit all concerned.
4. Taking responsibility for following through on his/her own development, within the prescribed plan.

II. Supervisor/Manager

1. Make a personal commitment to the process.
2. Encouraging the employees to develop themselves.
3. Training the employees to do more efficiently the work which they are assigned.
4. Making certain that both the manager and the staff have a common understanding of the manager's expectations.
5. Operating his/her own department in a way that is conducive to the growth and development of the employees.

III. Organization

1. Make a personal commitment to the process.
2. Provide policies and procedures required to implement the program.
3. Provide administrative controls to ensure compliance.
4. Demonstrate its interest by action and example.
5. Provide the proper climate whereby development can be encouraged.
6. Demonstrate to everyone that it is important to work on self-improvement continuously and that such effort is being noticed and supported.

POTENTIAL BENEFITS OF PERFORMANCE APPRAISAL SYSTEM

I. Employee

1. Continuously updated knowledge of where he/she stands with boss and organization.
2. Opportunity to demonstrate his/her capabilities (and as a result, his/her promotability) through an agreed-upon plan for development.
3. The chance to present his/her own ideas for increasing his/her own effectiveness and the effectiveness of the organization itself.

II. Supervisor/Manager

1. A clearer understanding of individual and group performance goals and what and how well each employee is contributing to their accomplishment.
2. A more stable work group.
3. Increased group morale and productivity.
4. Greater personal satisfaction.
5. The development of capable replacements for higher level vacancies when they occur (including a replacement for himself/herself when that promotional opportunity comes along).

III. Organization

1. Reduction in turnover.
2. Improved over-all productivity.
3. Increased potential for the future.
4. A better organizational image.

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POTENTIAL BARRIERS TO SUCCESSFUL PARTICIPATION IN PERFORMANCE APPRAISAL ACTIVITIES

1. INCOMPATIBLE OBJECTIVES

   - no objectives established
   - objectives not mutually established
   - objectives not realistic
   - objectives not measurable and verifiable
   - do not relate directly to manager's objectives
   - objectives not consistent with organizational policies and practices

2. SENSITIVE INTERPERSONAL ISSUES

   - Uninformed and untrained "appraisers"
   - Communication difficulties
     - not trained in coaching and counseling skills
     - not skilled in giving feedback nor aware of the different kinds. (Be sure feedback is descriptive rather than evaluative.)

3. DIFFICULTIES OF "PLAYING GOD"

   - belief in our culture is that we should be masters of our own destinies - no individual has the right to stand in judgment of another; using intuitive approach to evaluation and thus playing with subordinate's career

4. UNFAIR AND SUBJECTIVE PRACTICES

   - Very different judgments involved
   - Human desire to be liked
   - "My judgments of my subordinates are more harsh or more lenient than those made by fellow managers"
     - real problem with subjective forms of management is that they tend to evaluate what an individual is and knows, rather than what he/she does
     - attention must be directed to performance rather than personality
     - basis for evaluation must be as objective as possible with any subjective judgments based on objective observations.

5. PAYOFF RESULTS UNCERTAIN

   We see performance appraisal having its most significant "payoff" in the areas of accountability and employee development. But these are only potential payoffs and can't be guaranteed.

6. Develop major work assignments from position description

<u>Technical Aspects</u>

Analysis

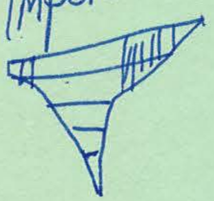
Agreement on duties

Define Standards

- origins { Historical - Time.
  Competitive - Peers.
  Engineered - Customized

Criteria

important



- Specific
- Measurable
- Desirable
- Realistic /Attainable

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Develop major work assignments from the duties and responsibilities listed in the following job description.

Position Title: SECRETARY

Duties and Responsibilities

1. Take dictation in shorthand.
2. Compose routine letters.
3. Type letters and reports.
4. Answer telephone and place calls.
5. Schedule appointments.
6. Screen visitors.
7. Open and screen incoming mail.
8. Maintain correspondence and subject files.
9. Make travel arrangements.
10. Maintain confidential personnel files.
11. Maintain a follow-up system for correspondence.
12. Maintain a reminder system for appointments, telephone calls, and correspondence to be answered by supervisor.

Major Work Assignments

1. Typing
2. Filing
3. Scheduling
4. Screening.
5. ______
6. ______
7. ______

Develop major work assignments from duties and responsibilities listed in the following job descriptions.

Position Title: DATA PROCESSING MANAGER

Duties and Responsibilities

1. Establish departmental objectives.
2. Schedule operations.
3. Protect and maintain present equipment.
4. Recommend new or modified equipment.
5. Provide timely and pertinent reports.
6. Administer tape library.
7. Conduct departmental meetings.
8. Administer company personnel policies.
9. Hire, orient, and train new personnel.
10. Train and develop subordinates.
11. Handle employee suggestions and problems.
12. Evaluate employee performance.

Major Work Assignments

1. ______	5. ______
2. ______	6. ______
3. ______	7. ______
4. ______	

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Develop major work assignments from the duties and responsibilities listed in the following job description.

Position Title: HEAD NURSE

Duties and Responsibilities

To Patients

1. Plan safe, economical, and efficient nursing care.
2. See that quality patient care is given to each patient in accordance with quality standards.
3. Formulate and utilize patient care plan to assist in resolving patient problems.
4. Act as liaison between patient, physician, and family.

To Medical Staff

5. Act as liaison between physician and patient care team.

To Own Nurse Manager

6. Share appropriate communications with unit personnel.
7. Ensure adequate staffing.
8. Make out patient care assignments.
9. Help with budget planning; operate unit within budget.

To Department Personnel

10. Hold regular unit personnel meetings.
11. Promote an environment in which the patient care team can work cooperatively toward objectives.
12. Provide an opportunity for personnel staff development.
13. Counsel personnel when necessary.

(over)

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To Committees

14. Paticipate actively in selected committee activities.

To Other Organizations

15. Maintain membership in appropriate professional organizations.

16. Participate in continuing education programs.

Major Work Assignments

1. Quality patient care.
2. ____
3. ____
4. ____
5. ____
6. ____
7. ____

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BASES FOR SETTING STANDARDS

Below are some performance standards. Label each as <u>engineered</u>, <u>historical</u>, or <u>comparative</u>.

H E 1. The three secretaries in the division will produce letters with not more than one error per page, and the corrections will not be discernible.

E 2. The copying machine serviceman will respond to at least 90 percent of all service requests within 24 hours of each request.

H 3. The ecology technicians in the Division of Environmental Planning and Control have developed new and more economical tests. They will conduct 12 percent more tests during the current year for the same budget.

C 4. In the next six months, the rate of complaints must not exceed the industry-wide average of one per one-hundred service calls, as reported in trade magazines.

H 5. For the next six-month period, reduce the number of repeat service calls caused by lack of replacement parts to at least 10 percent less than in the previous six months.

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Performance Standards Exercise

Study the performance standards below. List any faults you find. Then rewrite the standards correctly. (A performance standard is a statement of the conditions that will exist when the job is done. They must be measurable, specific, attainable, and desirable.)

Performance Standard:

1. Make all the service calls that are necessary each month.

List Faults: ______________________________

____

Write Correctly: ______________________________

____

2. In the next quarter, decrease processing time for travel reimbursement.

List Faults: ______________________________

____

Write Correctly: ______________________________

____

3. A production report, properly filled in with regard to number of test booklets assembled, rejects, amount of down-time, scrap rate, and number of work hours of overtime, must be submitted to the Division Director.

List Faults: ______________________________

____

Write Correctly: ______________________________

____

4. Format, type, and edit reports for the director.

List Faults: ______________________________

____

Write Correctly: ______________________________

____

5. Purchase supplies for the office.

List Faults: not specific, not measureable.

~~Purcha~~

Write Correctly: Purchase all necessary supplies for the office within one week of the request.

6. Purchase order numbers must be posted to inventory cards.

List Faults: not measurable.

Write Correctly: PO's must be posted to inventory cards before leaving the store room.

7. All client calls will be answered.

List Faults:

Write Correctly: 95% of all client calls will be answered on a daily basis

8. Develop and design a personal hygiene curriculum for clients.

List Faults:

Write Correctly:

9. Implement a CPR training program for all maintenance workers.

List Faults:

Write Correctly:

10. Have all professional staff develop personal performance objectives.

List Faults:

Write Correctly:

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Performance Appraisal Worksheet

Job Title: ______________________

Major Work Assignment	Performance Standards

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MODULE 13 - INDIVIDUAL PERFORMANCE MANAGEMENT

Behavioral Objectives for Performance Appraisal (Implementation & Appraisal):

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1. Define the term coaching. enhancing, guiding, motivating, instructing.
2. Describe the two components of the coaching process.
3. Describe and apply the Mager and Pipe flow diagram for analyzing performance discrepancies.
4. Describe and apply the four steps of the coaching conference.
5. Identify seven personal obstacles; ie, concerns brought into the workplace that may negatively impact work performance.
6. Describe the five-step Supervisory Action Model for assisting workers with personal obstacles.
7. Describe the function of employee assistance programs (EAPs).
8. Describe the typical process for referring employees to an EAP.

Practicum Suggestions

1. Describe a current situation related to an employee with personal obstacles which have negatively impacted performance. Identify the behavior which led you to awareness. What action have you taken/do you plan to take?

2. Describe a performance discrepancy and use the Mager and Pipe flow diagram for analysis and identification of the most probable cause.

3. Report a recent utilization of the four step coaching conference.

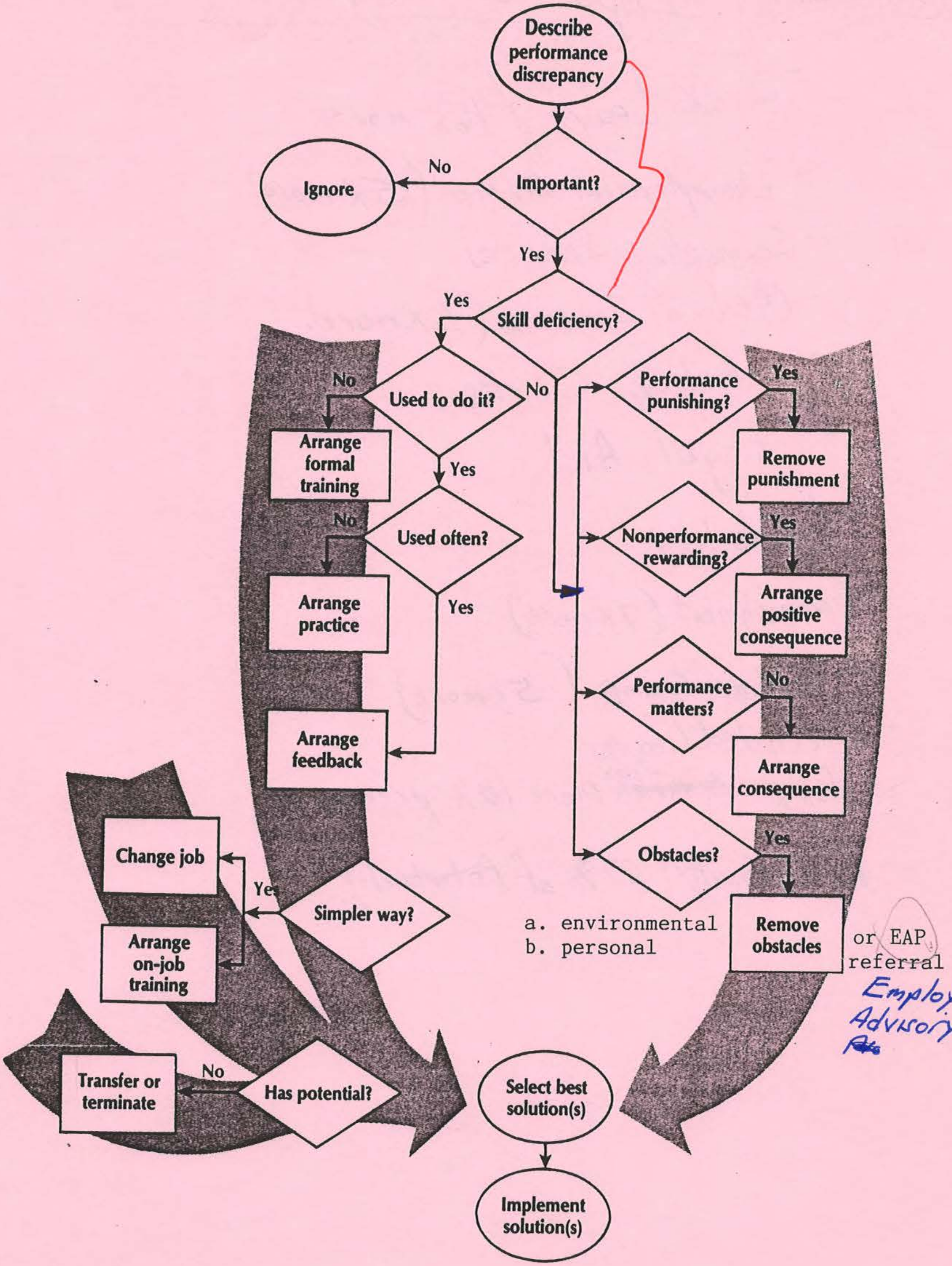
4. Do an assessment of your unit and describe the personal obstacles evidenced in the worksite.

5. Select a practicum of your choice and obtain approval from your instructor.

never diagnose.

Specific
measurable
desircable,
attainable

Flow Diagram for Analyzing Performance Discrepancies



Adapted from:
Mager and Pipe
Analyzing Performance Promblems or
You Really Oughta Wanna, 2nd Ed. 1984

CASE STUDY

Alexander Selkirk

For two years, Alexander Selkirk has been Supervisor, Computer Operations, for the Department of Accounting (DOA).

Alexander seems to be a person who succeeds in whatever he tries. In school, he was in the top 10 percent of his class, yet he worked at part-time jobs to pay most of his school expenses and was quite active in athletics. In high school and college he was on the track team and set a record for the 880 that still stands. He also was an excellent boxer and was on the boxing team all through college. After college he went to work for a university computer center. In the three years he worked there, he was twice named supervisor of the year.

He came to DOA with no experience in accounting. Some people around the department were hesitant about putting a man with no accounting experience in charge of the data center, but Selkirk has done an excellent job. He has studied hard and in two years has learned more than many do in ten. He has good technical knowledge of computers and the accounting process.

He has very good relations with the people on his shift; even the old-timers who spoke slightingly of "the kid" when he first came to work now like and respect him. He has convinced the people on his shift that he has their best interests at heart and will go to bat for them. Turnover and absenteeism are lower on his shift than on any other shift.

When he came to DOA, he launched, on his own initiative, a vigorous waste reduction program, and his shift now presents a cost picture that makes the Director exceedingly happy.

In many respects he is one of the most outstanding employees ever to come to work at DOA. He is a man of great talent.

However, the department pays a price for this talent. He is fiercely and single-mindedly determined to make his shift the best one in DOA. He is interested only in carrying out his assignments and he doesn't give a rap for the rest of the organization.

For example, on one occasion one of the check printers broke down at a time when the department was under real pressure to get payments out. He went down to the other printing room and, finding one of the technicians working on a printer there, ordered the man up fix the check printer. The man went to Selkirk's unit because, as he later claimed, Selkirk said that the Director had authorized it. Selkirk denied that he had said this; nevertheless, his printer was fixed before the other supervisor's.

When Selkirk needs the services of any of the staff functions--maintenance, personnel or others--he raises such a storm that, as the industrial engineer put it, "It's a whole lot easier to do what he asks and get him off your back."

The other supervisors quite naturally despise Selkirk. They feel that their needs are pushed aside until his are taken care of. They feel that he will never cooperate with them unless he is directly ordered to, and even then he will cooperate grudgingly.

Their dislike for him is returned in kind; he feels that they loaf along in their jobs and that they envy him because of his success. On one memorable occasion, he told the accounts payable manager, a man who is one level higher in management than Selkirk, that he was "an incompetent clunk who ought to be thrown out on the street." Later, Selkirk volunteered an apology, but it did little to soothe the manager's ruffled feelings.

Jack Rowland, the Manager of the computer operations and Selkirk's immediate boss, has spoken to Selkirk several times about the way he acts. Selkirk always responds in the same way. "I know it gets people stirred up, but you've got to in order to get anything done around here. Besides, my record shows it's the right way, doesn't it? I'm better than these guys in every measurable way--in production, costs, turnover, morale."

And it's true; he is better.

If you were the manager, what would you do?

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Supervisory Action Model
For Assisting Workers With Personal Obstacles

1. Recognition of the problem

2. Documentation of the problem.

3. Take Action - sit down and descibe behavior to person
- don't wait

4. Referral - make referral

5. Reintegration - help with reintegration, place resonsibility on employee
volunteer help

Do's and Don'ts of Referral

Do

1. Be prepared, Be ready for excuses
2. Express Concern / Support
3. Point out areas of concern (Describe Problem / Don't Evaluate)
4. Establish Levels of Performance.
5. Be firm but fair
6. Explain how EAP works

DON'T

- Ignore and Delay
- Threaten a person
- Make value judgements
- Moralize
- Let friendship interfere
- Diagnose / Evaluate
- Accept Excuses
- Play Counselor.

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MODULE 14 - PROBLEM SOLVING

Behavioral Objectives for Problem Solving:

At the end of the session, in accordance with information presented and practice experienced, you will be able to:

1. Define the term problem.

2. Identify, explain and apply the five steps in the Kepner-Tregoe Problem Solving Model.

Practicum Suggestions

1. Apply the Kepner-Tregoe Problem Solving Model to determine the cause of a problem.

2. Describe and example of a problem solving process used in your unit. Compare and contrast it with the Kepner-Tregoe Model.

3. Select a practicum of your choice and obtain approval from your instructor.

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THE CASE OF "HELEN"

Helen works for the Division of Public Misinformation. Her unit is made up of a staff of 8, including Helen. Each member has been with the Department for at least 3 years; 2 people have 10 years' experience, Helen and 2 others have 8 years', and the others between 3 and 6 years' experience. The atmosphere has always been friendly and everyone feels committed to doing a good job. The most serious work comes in around 10 a.m. and must be completed by 3 p.m. (in time for the afternoon mail). Nevertheless, there are always extra tasks to keep everyone busy.

Last July, completely without warning, the supervisor of the unit announced that she was taking early retirement in order to study the migratory patterns of sub-Antarctic penguins. Everyone was in a panic, since workload is always heaviest for about two weeks immediately after holidays, and July 4th was on Friday of that week. June, one of the 10-year veterans, was offered the supervisor's job, but she refused based on her awareness that the supervisor has to do the same work as everyone else, in addition to various time-consuming administrative tasks which she detests. Gus, the other 10-year member, is slovenly, openly sexist, and totally insensitive to people. Management made it clear to him that he would have to change in order to advance. He did not and so he was passed over for 2 promotional opportunities. Despite seniority and, surprisingly, the support of his co-workers, Gus was felt by management to represent the wrong image for a supervisor, especially in such a sensitive division.

As next in line based on seniority and an outstanding performance record, Helen became the new supervisor. She was never the "favorite" of the group, but they could not fault her seriously, either. She was accepted, although there was some jealousy to be overcome. Helen welcomed the challenge, since she had spent all those years as a "doer."

Helen lived alone except for her English sheepdog. When he died on September 15th, she lost a life-long friend, but Helen's commitment to the job prevented her from taking even one day off, although everyone had urged her to take time to grieve. "We're all overloaded," she said, "I can't think of how we'd get the work done if I were absent even one day." Helen always set high standards . . . and met them.

Her boss, Wilbur, knowing that she had no supervisory training, scheduled Helen for the CPM program beginning on Monday, November 15. This was unusal for her boss, since he is very autocratic and not supportive of staff development. He is quite insecure himself and manifests this by being very controlling. For example, when Helen's PAR review was due on Monday, November 8th, Wilbur called her into his office and told her that he had rated her "standard." Helen, being achievement-oriented, protested. She had accomplished so much since becoming supervisor, more than her predecessor and far more than was generally agreed upon as "standard performance." Her boss's response was, "Nobody here is better than standard. When you've been around as long as I have, you know what quality performance is, and this place just doesn't make the grade." Helen felt crushed and angry. "But you told me over and over that I was doing an excellent job!" "You do," was the reply. "But that's just what I expect from you; otherwise I would not have chosen you for the promotion."

Helen's anger was quite evident, although she said nothing about the rating to anybody. She is the type of person who stews in silence but continues to do what is expected of her. She knew Thanksgiving was coming, and that would mean a pleasant change, but also a very short week in which to get her work done, since Mondays she'll be in class. Now she had to perform well in order to prove to her boss that the rating was indeed unfair.

The Monday after Thanksgiving weekend, when Wilbur was walking through Helen's unit during his morning coffee break, he overheard her subordinates saying some rather negative things about Helen. He was surprised to hear them talking so intensely, since the day's mail had just been distributed and the busiest part of the day had now begun. Usually they would be very friendly and chatty before the 10 o'clock mail arrived, and then cheerfully bury their heads in their work until mid-afternoon, when the worst of it was attended to -- by letter, telephone, or referral, since this was the Division of Public Misinformation's Response Preparation Bureau. (The Division was created by a previous administration and proved extremely useful to each subsequent one.) When Wilbur passed through later and again heard the "rumblings of discontent," he decided to take a "wait and see" approach.

The next day, when Helen was back from CPM, the complaints were again to be heard, although in more subdued tones when Helen was around. All that Wilbur could hear clearly were the words, "She's rude" and "unfair." The work was done with the same degree of care as in the past, but it was clear that there was a problem. Wilbur considered telling Helen about it, but decided against it. "Maybe she's not as good as she thinks she is," he thought. As if to build a case against her, he began listening to conversations among other supervisors and staff who interfaced with Helen, but no one said anything negative about her. Wilbur went so far as to ask the Director, Lois Lane, about her reaction to Helen, and he was amazed to hear high praise for Helen's effectiveness and rapport with her group. Wilbur was even commended for having such a well-run unit since Helen took over!

Thoroughly puzzled, he began collecting data every day as he walked through Helen's unit on his way to the coffee pot, the Xerox machine, lunch, etc. It seemed that staff morale was worst at the beginning of the week--he sensed more tension and anger from the group. The complaints remained the same, except for one person's additional gripe: "Why doesn't she do those silly jobs herself?" Interestingly, the mood seemed to lift by mid afternoon--Wilbur heard absolutely no complaints whenever he went for his afternoon coffee at 3:30, but he could be sure to heard some complaints up to a half hour earlier.

Wilbur was debating about what to do. The complaints were not shared with him, but seemed to be prevalent among all of Helen's staff. If the problem continues, as it has persisted for almost two weeks, there could be a union action (bad in an election year) or staff might transfer or leave. No matter what others say, Helen's promotion may have been a serious mistake that is just coming to light. Should he give her an oral reprimand? Reassign her? Meet with her staff one day while she is at CPM and find out what the problem is? What would you do?

Answer the following:

1. What is the problem?
2. What do you believe is the cause of the problem?
3. What would you do next if you assume that you have identified the true cause?
4. List several possible consequences if your assumption proves to be wrong.

CPM- Mon. Nov. 15.

Problem

(1) Discontent among employees

(2) Helen going to CPM, gives more work to others

(3) Do nothing, wait until CPM is over.

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FIVE STEPS IN ANALYZING A PROBLEM

Step 1 Define the Problem

- You must define the problem before you can analyze and explain it. This is done with a deviation statement.
- A deviation statement focuses on the specific concern to be analyzed. It should be brief, indicating no more than the object, person, process, department, etc.
- The deviation statement should not be worded so that you can answer it. It must be worded so the you will want to discover or explain the cause.

Step 2 Specify the Problem

- You must ask questions, the kind of questions you ask when you have a problem.
- Describe the problem in four dimensions to pinpoint its specifications.

  Ask what - what it is we're trying to explain.
  Ask where - where we observe it.
  Ask when - when it occurs.
  Ask extent - how serious, how extensive it is.
  who - people problems

- These four dimensions will help tell you what the problem is. It will dissect the problem in detail, getting specific facts in each dimension.

Is vs. Is Not: A Basis for Comparison

- It is imperative to define what the problem is not. Define what's outside the boundary of the problem for the sake of comparison.
- In each of the four dimensions, list those things that a problem might be, but is not.
- You are separating what the problem is from everything it is not in order to draw a tight line around the problem. This will help to describe it precisely and give us clues as to the cause of the problem. This contrast between the is and the is not suggests a potential cause.

Step 3 Develop Possible Causes (Extraction of Key Information)

- What is distinctive, odd or unique about the is that isn't shared with the is not?

- What is distinctive is applied to all four dimensions of a problem.
- The analysis begins to reveal important clues to the cause of the problem--(clues, not answers or explanations).
- Examine the distinctions noted for any changes that have occurred. Ask of each distinction, "Does this distinction suggest a change?"
- Generate possible causes by asking, "How could this distinction or change have produced the deviation as described in the deviation statement?"
- Ask, "Which changes are most likely to suggest the cause of our problem?"

Step 4 Test Possible Causes

- You must ask, "Which of the possible causes is the most likely cause in this particular problem?"
- You then paper and pencil test the probable causes.
- Ask, "If this is the true cause of the problem, how does it explain each dimension in the specification?"
- Subject each possible cause one by one to critical questioning against the is and is not boundaries you have constructed.

Step 5 Verify the Most Likely Cause

- This is the physical test done to verify the most probable cause at the true cause.
- You verify the one cause that produced the problem: the possible cause that won't break down the best satisfier on the is side while also fully explaining the is not side.
- Verification is an independent step taken to prove a cause and effect relationship. It could consist of asking additional questions or setting up experiments.

PROBLEM ANALYSIS PROCESS QUESTIONS "IS"

WHAT-----WHAT IS THE OBJECT WITH THE DEVIATION

WHAT IS THE DEFECT ON THE OBJECT

WHERE----WHERE (GEOGRAPHICALLY) IS THE DEFECTIVE OBJECT FOUND

WHERE IS THE DEFECT FOUND ON THE OBJECT

WHEN-----WHEN WAS THE DEFECTIVE OBJECT FIRST OBSERVED

WHEN IS THE DEFECT OBSERVED ON THE OBJECT

WHEN IN THE LIFE CYCLE

WHAT IS THE PATTERN

EXTENT---HOW MANY OBJECTS ARE DEFECTIVE

HOW BIG IS THE DEFECT

HOW MUCH OF THE OBJECT IS DEFECTIVE

HOW MANY DEFECTS

WHAT IS THE TREND

PROBLEM ANALYSIS PROCESS QUESTIONS "IS NOT"

WHAT-----IF ____________ IS THE DEFECTIVE OBJECT, WHICH OTHER OBJECT COULD BE DEFECTIVE, BUT IS NOT.

(QUESTIONS OF THIS NATURE CONCERNING THE WHAT, WHERE, WHEN, AND EXTENT WILL IDENTIFY WHAT THE OBJECT IS NOT.)

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WORKSHEET: PROBLEM-SOLVING

DEVIATION STATEMENT: Discontent among employees

QUESTIONS	IS	IS NOT	WHAT IS DISTINCTIVE OF THE IS?	ANY CHANGE IN THIS?
WHAT: Deviation Object	Employees are complaining about Helen	about other		
WHERE: On Object Observed	at work	anywhere else		
WHEN: On Object Observed	When work is done and on Monday between 10:00-3:30 PM start November 15,	latter in week before 10:00, after 3:30 PM Not before		CPM on Nov. 15.
EXTENT: How much? How many?	Many complaints From employees	n. Not from Bosses		
POSSIBLE CAUSE (S) FOR TEST	Helen attends CPM, she assign's extra work			
VERIFY CAUSE	Wait until after CPM.			

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WORKSHEET: PROBLEM-SOLVING

DEVIATION STATEMENT:

QUESTIONS	IS	IS NOT	WHAT IS DISTINCTIVE OF THE IS?	ANY CHANGE IN THIS?
WHAT: Deviation Object				
WHERE: On Object Observed				
WHEN: On Object Observed				
EXTENT: How much? How many?				
POSSIBLE CAUSE (S) FOR TEST				
VERIFY CAUSE				

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WORKSHEET: PROBLEM-SOLVING

DEVIATION STATEMENT:

QUESTIONS	IS	IS NOT	WHAT IS DISTINCTIVE OF THE IS?	ANY CHANGE IN THIS?
WHAT: Deviation Object				
WHERE: On Object Observed				
WHEN: On Object Observed				
EXTENT: How much? How many?				
POSSIBLE CAUSE (S) FOR TEST				
VERIFY CAUSE				

WORKSHEET PROBLEM SOLVING

EVIATION STATEMENT: Some Bad Butterfat at Company X

UESTIONS	IS	IS NOT	WHAT IS DISTINCTIVE OF THE IS?	ANY CHANGE IN THIS?
HAT: Deviation Object	High bacteria count	Any other compalaint	Function of heat	
	Some butterfat shipped to Customer X	All butter fat shipped to Customer X, any other butterfat customers	Selective, part of shipment	
HERE: On Object Observed	Some bags, Customer X	Other bags, Customer X	Part of shipment affected	
	At Cusomer X's Plant	Other customer's plants, in Puritan Food's plant	X is heavy user, X gets truckload lots, X gets pallet handling	
HEN: On Object Observed	Upon use, Customer X's Plant	At quality check, receiving inspection		
	Over the last week, product impounded last 2 days	Before last week, before last 2 days	Busy season beginning	Takeoff temperature +20 degrees Fahrenheit, New sterilization method
XTENT: How much How many	Very high bacteria count, some butterfat is putrid. Unknown number, but many bags bad	Marginal Count		
		Just a few, rare bags		

OSSIBLE CAUSE FOR EST

1. Increased takeoff temperature makes butterfat too slow in cooling.
2. Separator not fully cleaned at end of run, contaminates next days butterfat

Why only some Customer X, no other customer?

Quality checks out at start and end

LRIFY

3. Hotter butterfat in palletized stacks makes bags in center too slow to cool.

Most probable cause.

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WORKSHEET: PROBLEM-SOLVING

DEVIATION STATEMENT: Bacteria counts high, above acceptable limits

QUESTIONS	IS	IS NOT	WHAT IS DISTINCTIVE OF THE IS?	ANY CHANGE IN THIS?
WHAT: Deviation Object	Bacteria counts high		increased takeoff temperature from 75° to 90°	Yes
			sterilization process change	No
WHERE: On Object Observed	X-company	other companies	X-company	
WHEN: On Object Observed	week ago	before a week ago	week ago	
EXTENT: How much? How many?	some bags in each shipment	all of bags	all bags - ~~all~~ bags come out of steepearto	

POSSIBLE CAUSE (S) FOR TEST: top bags cool of slower, thus causing bacteria count.

VERIFY CAUSE: Check bacteria of top bags

THE BAD BUTTERFAT CASE

The manager of the Puritan Food Company was called by the Vice President of X Company, one of their principal clients. The Vice President was angry and complaining about the bacteria count in the butterfat being supplied by the manager's plant. The bacteria counts were extremely high and above acceptable limits. The butterfat became so bad that it turned the flavor of the X Company product in which it was being used.

The X Company's Vice President said they had dumped a lot of the product, but some of it had gotten out on the market. It began showing up in the last two days. This meant that the butterfat they were receiving had been bad for the past week. Bacteria counts in the material just received were extremely high. Some of the butterfat was all right, but much of it was putrid. Merchants were complaining, health officials were barring sale of the product, there was a large amount of damage and more was expected, and X Company was going to sue.

The Puritan Food plant sells butterfat in bulk lots to the X Company, a trailer load or more a day. Butterfat is taken out of the separator in a semi-fluid state, put into pre-sterilized forty-pound plastic bags and heat sealed. These bags are taken to a freezer room and brought down to minus twenty degrees Fahrenheit. The frozen bags are shipped in refrigerated vans to the customer over 100 miles away.

The butterfat temperature would rise to not higher than -15 degrees Fahrenheit during transit, but this temperature is still far below the level that would permit bacteria to multiply. Upon receipt of the material, X Company uses the butterfat within a matter of hours. The Puritan's quality control took a bacteria count at the time of packaging and when the butterfat was being shipped. The customer took a count at the time of receipt.

The problem was confined to high bacteria counts in bulk butterfat supplied to X Company, with the problem starting a week ago and still continuing. It was confined to only some bags in each shipment. It was not a general or a widespread problem. It was limited to only one company, X Company, who was the only customer receiving butterfat in bulk. X Company was processing the butterfat just as it had done in the past. Puritan Foods had made two changes in its process. The takeoff temperature of the butterfat at the time of separation and bagging was increased from seventy-five degrees to ninety degrees Fahrenheit a week or so ago. The reason for this was that Puritan was in a rush period and butterfat flows faster at high temperatures. This was within industry practice and the plant manager could see nothing wrong with doing it this way. Also, the sterilization process for cleaning the separator after each run was changed about a week ago. This change resulted in cost savings for the operation.

Butterfat for X Company came out of the same separator as did the butterfat for Puritan's other customers and for their own use. It was bagged in the same way, in pre-sterilized bags. It went into the same freezer room for quick freezing. It was handled in the same way, except that it was stacked on pallets for easier movement from the separator to the freezer and then to the trailers. It has always been handled in this manner with no complaints. The bags tended to freeze together on the pallet and were easy to handle.

There were forty-eight bags stacked on each pallet, six to a layer and eight layers high.

Armed with the information supplied above, identify the MOST PROBABLE CAUSE for X Company's complaints.

MODULE 14 - PROBLEM SOLVING

DESCRIPTION QUESTIONS - PEOPLE PROBLEMS

	IS	IS NOT
WHO	Is the person with whom you are having difficulty	Could it be but is not
WHAT	Behavior is occurring that should not	Might you expect to be occurring but is not. What part of the job should be all right, but is going wrong
WHERE	Is the behavior exhibited	Might it be expected to occur, but it does not
WHEN	Do these difficulties occur (time-clock-calendar)	At which other times might they occur, but do not (time-clock-calendar)
	Do these performance difficulties occur on the job	When else might they be expected to occur but do not
EXTENT	To what extent does each of the difficulties occur	How severe might they be, but are not
	How often do they occur	How often might they occur, but do not
	How many occurrences, complaints	How many occurrences, complaints, could there be but are not

Can You Analyze This Problem?

A management exercise

By Perrin Stryker

The ability of managers to solve problems and make decisions rationally has long been assumed to be one of the valuable products of experience on the job. But close observation of their actual practices has shown that even veteran managers are likely to be very unsystematic when dealing with problems and decisions. And their hit-or-miss methods often produce decisions based on erroneous conclusions, which means that the decisions must also be wrong.

Some years ago, the surprisingly inefficient ways in which managers use information led Charles H. Kepner, a social psychologist, and Benjamin B. Tregoe, a sociologist, to develop a systematic approach to problem solving and decision making. A description of the research and training methods developed by Kepner-Tregoe and Associates of Princeton, N.J., was presented to HBR readers in an earlier issue.[1] And by now more than 15,000 experienced managers in major corporations have been trained in their concepts of problem analysis and decision making. These concepts are shortly to be published in book form.[2]

Practically every manager who has taken this training has been rather rudely shocked to discover how faulty his own reasoning methods have been in handling problems and decisions. Readers are therefore invited to test their own reasoning powers against the problems presented in the case history, based directly on an actual situation, set forth below.

The Burred Panels

The problems to be solved are presented in the form of dialogues between various managers in a plant which manufactures quarter panels — the body parts that cover the front quarters of the car, including the wheels. The quarter panel is the successor to the fender, and is the part most often damaged in collisions in traffic accidents. This plant has 3,000 employees and makes not only quarter panels but many other smaller parts and components for two of the models sold by one of the Big Three auto companies.

The panels are made on four separate production lines, each line headed by a huge hydraulic press that stamps the panels out of sheet-steel blanks. When the flat steel arrives at the plant from various suppliers by rail, it is unloaded and carried to a machine which cuts identical-size blanks for all four hydraulic presses. Blanks go to the presses by forklift trucks in pallet stacks of 40 each, and the schedule is so arranged that there is always a supply on hand when the presses are started up on the morning shift.

The Principals

Since this problem, like any other management problem, involves different types of peo-

[1] See "Developing Decision Makers," HBR September–October 1960, p. 115.

[2] Charles H. Kepner and Benjamin B. Tregoe, *The Rational Manager*, edited with an introduction by Perrin Stryker (New York, McGraw-Hill Book Company, Inc.).

ple, the following brief descriptions of the characters, whose names have been disguised, may be useful:

- *Oscar Burger, Plant Manager — a tough manager in his late fifties; known for his willingness to listen to others; considered antiunion by the employees.*
- *Robert Polk, Production Chief — a hard-nosed driver, very able technically, but quick-tongued and inclined to favor certain subordinates; also considered antiunion by the employees.*
- *Ben Peters, Quality Control Manager — reserved, quiet, and cautious when dealing with others; extremely confident in his figures.*
- *Ralph Coggin, Industrial Relations Manager — a fairly typical personnel manager; sympathetic to employees; relies on human relations techniques in dealing with the union.*
- *Andy Patella, Shop Steward — antagonistic to management and eager to prove his power; has developed rapport with Industrial Relations Manager Coggin.*
- *George Adams, Supervisor on Line #1 — steady, solid, and well respected by his men.*
- *James Farrell, Supervisor on Line #2 — irrascible, ambitious, and somewhat puritanical; very antiunion.*
- *Henry Dawson, Supervisor on Line #3 — patient, warmhearted, and genuinely liked by his men.*
- *Otto Henschel, Supervisor on Line #4 — aloof, cool, and a bit ponderous; neither liked nor disliked by his men.*

Morning Emergency

The situation opens at 11:00 a.m. on a Wednesday in the office of Plant Manager Oscar Burger, who has called an emergency meeting. Fifty minutes ago he learned from Production Chief Bob Polk that nearly 10% of the panels coming off lines #1 and #2 were being rejected by Quality Control because of burrs and other rough spots.

BURGER: I've called you in here because we're in real trouble if we can't lick this reject problem fast. The company needs all the panels we can ship, and more, if it's going to catch up with this new-model market. Both new models of the Panther and the Cheetah are going over big, and if we slow down on panels, the old man in Detroit will be on my neck fast. So let's get all the facts out on the table and run this thing down before lunch. Bob here tells me Line #1 started putting out rejects about three minutes after the end of the 10 o'clock relief break and Line #2 went wild about 9:30. Bob, suppose you tell us just what you've found out so far.

POLK: You've about covered it, Oscar. Farrell, the supervisor now on Line #2, says he's checked several times to see if these burrs in the panels are being caused by something in the sheets, but he hasn't found anything suspicious. Sheets all look nice and clean going into the press, but many come out rough as hell. He says the inspectors report that rejects rose from the normal one or two an hour to eight or nine in the last hour. On Line #1, George Adams says it's about the same story, and he can't figure it out — it just started up suddenly after the relief break.

BURGER: Doesn't Farrell or Adams have *any* idea why it started?

POLK: Well, Farrell is sure it's deliberate sabotage by the drawpress operators, but he can't catch them at it. He says it's not hard to produce burrs and rough spots if a man positions a sheet just slightly wrong. He says the men on his line are mad as hell over his suspending Joe Valenti yesterday, and he had another argument when Valenti came in this morning against orders and tried to take back his press job. Farrell called the guard and had Valenti escorted to the gate.

BURGER: What's that? I never heard about this. What's wrong with Valenti? (*He turns to Industrial Relations Manager Coggin.*) Ralph, what about this?

COGGIN: Oh, I don't think it's all Valenti's fault. He and Farrell have been at it for a long time, as you no doubt know, arguing over management's rights. Farrell says he saw Valenti go behind the tool crib yesterday afternoon during the relief break, and Farrell swears Valenti had a bottle with him. He caught Valenti drinking on the job last year, you remember, and says he wishes he'd fired Valenti then instead of suspending him. You know how Farrell is about liquor, especially on the job. Anyway, he accused Valenti of drinking on the job again, and after some hot words he sent Valenti home for the rest of the week. Andy Patella, the shop steward, protested Farrell's action immediately, of course.

POLK: Farrell's OK, Ralph; he's doing his job.

BURGER: Let's get back to this reject problem. What has Valenti got to do with it?

COGGIN: Well, I talked with Patella, and he reports the men on all four lines are sore as hell. They made some sharp cracks about Farrell being a union-buster yesterday after the argument and again this morning when he threw Valenti out. When the drawpress on #2 started putting out a lot of rejects on Panther panels, and Quality Control reported this to Farrell, he went over to the press operator and made some suggestions on placing the sheets, or something like that. The man just glared at him and said nothing, Patella tells me, and Farrell finally walked away. The reject rate stayed high, and during the whole 15 minutes of the relief break the men from all the lines were talking together about Valenti's case. Patella says Valenti's young brother, Pete, a spot welder who works on Line #3 under Dawson, called for a walkout, and quite a few seemed to think it was a good idea — contract or no contract. Then right after the men went back to work, Line #1 started to throw off rejects at a high rate.

BURGER: What does Adams think about this, Ralph?

COGGIN: He won't completely buy that sabotage theory of Farrell's, but he admits there doesn't seem to be any other explanation. The maintenance troubleshooters have been all over the press and can't find anything wrong. The die is OK, and the hydraulic system is OK. They made some adjustments on the iron claw that removes the piece from the press, but that's all.

BURGER (*turning to Quality Control Manager Ben Peters*): Ben, what is your idea about this?

PETERS: It's hard to say what might be causing it. We've been checking the sheets from Zenith Metals we started using this morning, and they looked perfect going through the blanker. Besides, it's only on lines #1 and #2 that we're getting burrs, so maybe we've got trouble with those presses.

POLK: I'll check it with Engineering, but I'm willing to bet my last dollar the presses are OK.

BURGER: Yes, I think you can forget about trouble in the presses, Ben. And the blanker's never given us a hard time, ever. Still, you'd better have Engineering check that too, Bob, just in case. Meanwhile, I'd like to . . . . (*He pauses while the door opens and Burger's secretary slips in and hands Peters a note.*)

PETERS: I'll be damned! My assistant, Jerry, tells me that Line #4 has just begun turning out a mess of burred rejects. I wouldn't have thought that slow old line could go haywire like that — those high-speed presses on the other lines, maybe, but not on Henschel's steady old #4 rocking along at 50 panels an hour.

POLK: Well, that seems to knock out a theory I was getting ready to offer. With #4 acting up, too, it looks like the press speeds aren't to blame. Now I guess we won't have long to wait before Dawson's line also starts bugging up the blanks.

COGGIN: Maybe #3 won't go sour if what Patella says about Dawson is true. He says Dawson's men would go all out for him if he asked them, and I gather Patella hasn't had much success selling them on his anticompany tactics.

BURGER: What's he peddling now?

COGGIN: Same old stuff. He claims the company is trying to discredit the union with the men, especially now that contract negotiations are comin'; up next month. This year he's also tossed in the rumor that the company will threaten to abandon this plant and move out of the state if the union does not accept the local package of benefits management offers in negotiations.

BURGER: That's stupid. Hell, when will the union wake up and give us a fair day's work for the pay they're getting? But let's stop this chatter and get after these rejects. Check anything and everything you can think of. We can't afford to shut any line down with the factory as tight as it is on Panther panels. Let's meet back here at 4 o'clock this afternoon.

Informal Get-Together

The meeting breaks up, and Polk goes to the shop floor to check on the presses and the blanker. Peters goes to his quality-control records to see when the reject rate last hit its current level. Industrial Relations Manager Coggin seeks out Patella to check on Farrell's handling of Valenti and the other men on his line. Dur-

ing the lunch hour in the cafeteria, an informal meeting of the four supervisors and Production Chief Bob Polk takes place.

FARRELL: I suppose you got the boss all straightened out on those rejects, Bob. That Valenti has a lot of buddies, and we'll need to keep our eyes peeled to actually catch them fouling up the stampings.

HENSCHEL: You can say that again! I've got a couple of Valenti's old buddies on my line, and ever since the burrs started showing up about 11:20, they've been extra careful. I've traced at least three rejects that I think I can attribute to him.

POLK: Keep a count on who makes the most rejects, and maybe we can pin this down to a few soreheads.

ADAMS: You fellas sound like you're on a manhunt. As for me, I think Engineering will come up with the answer. The press on my line has been making more noise than usual today, and I think there's something fishy there. Right now, Bob, I'd like your help in getting the night shift to cut down on the number of stacks of blanks they leave us for the morning runs. It'd help a lot if they'd keep it down to two stacks of 40 each. Again this morning I had four stacks cluttering up my area.

POLK: I'll see what we can do with Scheduling.

HENSCHEL: I'm with you there, Adams. I've been loaded with four stacks for the last five days running. With my slow-speed old equipment, I could manage nicely with only one stack to start off. I noticed that Farrell had two stacks and Dawson had only one to start his line today, and why should they be getting favors?

DAWSON: Now, Otto, you're just jealous of my new high-speed press. You got an old clunker, and you know it. What you need is to get off that diet of Panther panels and join me banging out those shallow-draw panels for the Cheetah. Also, it might help you to smile now and then when one of your men cracks a joke. Remember that old proverb, "He that despiseth small things shall fall by little and little."

FARRELL: I can think of another proverb that you might consider, Dawson. "Spare the rod and spoil the child." Is it true that your crew is going to win a trip to Bermuda if they're all good boys and make nothing but good panels?

ADAMS: Aw, cut it, Farrell. We can't all be tough guys.

FARRELL: Well anyway, I'm glad Dawson didn't have to cope with Valenti today. That boozer is finally out of my hair. I can't forget last year when he helped Patella spread the word that if the men would burr a lot of the stampings, they could pressure management into a better contract. I wouldn't be surprised if Valenti and Patella were in cahoots now, trying the same angle before negotiations start.

ADAMS: Relax, Farrell. You can't prove that's so. The men aren't as dumb as all that, as last year proved when they refused to believe Patella. What bugs me is those rejects this morning. Never saw so many bad burrs show up so fast.

HENSCHEL: They sure surprised me, too, but you know I think Quality Control may be a little bit overexcited about the burrs. I figure all of them could be reamed and filed out with a little handwork. Put two extra men on the line, and it would be all taken care of.

FARRELL: Maybe so, but you know how Burger would feel about the extra costs on top of the lower output. And don't forget, Henschel, our high-speed presses are banging out 30 more an hour than yours. Well, I gotta get back and see what's with Valenti's buddies on my line.

Aside Conversation

All the supervisors get up and leave together. They pay no attention to Industrial Relations Manager Coggin talking with Shop Steward Patella in a corner of the cafeteria.

COGGIN: What I want to know, Patella, is why did Valenti try to get back on the line this morning against Farrell's orders?

PATELLA: Why not? Farrell was miles off base sending Joe home yesterday without telling me or you or anyone else. I was glad Joe came back and faced that s.o.b. Farrell's been getting jumpier and jumpier lately, and do you know what they say? They say he's cracking up over that poor kid of his — the little teenager who's turned out to be such a tramp. I feel sorry for him, but that's no reason why he has to take his feelings out on his men. His crew won't take it much longer, and the other crews are sore, too. You know Valenti's brother this morning over on Line #3 began talking about a walkout?

COGGIN: Yes, I heard he did. So why didn't they go out?

PATELLA: Oh, that crew of Dawson's is too company-minded, and there are some older men there who almost worship Dawson. But they'll go out if management doesn't wise up and respect their rights.

COGGIN: What about that man who got hurt last night on overtime while unloading those sheets?

PATELLA: He's been on the job for a couple of months, but he tells me he wasn't familiar with the method of blocking that Zenith Metals uses. He's not hurt bad, but he'll get workmen's compensation OK.

COGGIN: Sure. Now how certain are you about Farrell not finding any bottle behind the tool crib after he suspended Valenti? And are you sure you're right that there were no witnesses? You know you've got to be positive of your evidence.

PATELLA: OK, Ralph. I'm certain, I'm sure, I'm positive!

Afternoon Meeting

Three hours later, Plant Manager Burger is again in a meeting with Production Chief Polk, Quality Control Manager Peters, and Industrial Relations Manager Coggin.

BURGER: Let's hear from you first, Bob, about that check on the presses and the blanker. Any clues to those burrs?

POLK: Nope. Everything is OK with the machinery, according to Engineering. They even thought I was nuts to be questioning them and making them double-check.

BURGER: I can imagine. But we can't overlook anything, no matter how impossible Engineering may think it is. By the way, Ben, are the rejects still running as high this afternoon?

PETERS: Higher. Line #1 is lousing up nine or ten an hour, Line #2 is ruining about a dozen, and Line #4 is burring about seven an hour.

BURGER: What about Line #3?

PETERS: Nothing so far. Dawson's line has been clean as a whistle. But, with Valenti's brother on the line, we can expect trouble any time.

POLK: Maybe not. Dawson's reject rates have always been a bit lower than the others'.

BURGER: That so? How do you account for that?

COGGIN: How about better supervision accounting for it? Dawson's men always seem to take more pride in their work than the other men do, and they really operate as a team. The other day I heard two of his men talking about one of their crew who apparently was getting careless, and they decided to straighten him out themselves, without bothering Dawson. When you get that kind of voluntary discipline, you've got real supervision.

BURGER: Glad to hear that some of our men feel responsible for doing good work.

POLK: Dawson's crew is OK. One of his men will always tip me off early if they're getting low on blanks, but the night shift on that line is mighty careless. That crew left Dawson's line with only a half-hour's stack of blanks to start up with this morning.

PETERS: By the way, Bob, have you heard that some of the men on the other crews are calling his men "Dawson's Darlings"? The rumor is that those shallow Cheetah panels are easier to make, and someone played favorites when they gave that production run to Dawson's crew.

POLK: That's crazy. We gave those panels to Dawson's line because this makes it easier for the Shipping Department, and they just aren't any easier to make; you know that.

PETERS: I know, but that's what the men say, and I thought you'd like to be cut in on the grapevine.

COGGIN: If the men think the deep panels are a harder job, maybe there's something to it. I've heard this story, too, and there's a chance the union may try to review our rates and standards one of these days.

POLK: Yeah? Well, I say nuts to it. If those items go on the agenda, then Patella might as well be running this shop. Why don't we ask the union: "How about making up for that half-hour Line #2 lost this morning while Valenti argued with Farrell about his suspension?"

COGGIN: While you're asking, ask Farrell why he didn't call me before suspending Valenti yesterday. What a mess Farrell put us in!

BURGER: What do you mean, Ralph?

COGGIN: Just that we've got a real big grievance coming up, for sure. Patella tells me that after Farrell suspended Valenti yesterday, he went looking behind the tool crib and couldn't find any sign of a liquor bottle. Also, Patella claims there were no witnesses around when Farrell accused Valenti of drinking on the job. It's going to be impossible for Farrell to prove he wasn't acting merely on his suspicions, without evidence. And the union is sure to hit us hard with this, especially with contract negotiations coming up.

BURGER: Damn it, Farrell should have known better! This isn't the first time he's been tough with a man, but he's got to learn to use better judgment. Bob, you'd better have a talk with him right away. See if anything special is chewing him. Maybe a little firm advice from you will sharpen him up.

POLK: OK, Oscar, but Farrell's a very good man, and we ought to back him up on this completely.

COGGIN: If you do, you're going to have real trouble with the union. Patella says if we don't drop the charge against Valenti and reinstate him, he's going to propose a strike vote, and he claims the men will positively go out. It looks like they have a clear case against Farrell and, except for Dawson's men, a lot of them seem plenty sore. And those rejects they're producing are telling you so, loud and clear.

POLK: Oscar, we can't undercut Farrell! If we do, we're playing right into the union's hands. It's obvious that Valenti is in collusion with Patella on this, and they're framing Farrell to get themselves a hot issue for the contract negotiations. I say we should charge the union with framing Farrell and willfully producing rejects. If they try to strike, get an injunction immediately so we can keep production up and satisfy Detroit.

BURGER: Not so fast, Bob. I'd rather first try to get the union off our backs before they seriously start talking about a strike. Ralph, what about that demand the local union agent told you he was going to make — something like 10 minutes' extra wash-up time? If we gave in to him on this, do you think he could hold Patella in line on this Farrell-Valenti problem?

COGGIN: Probably. But you would want to find some way for Patella to save face, as well as Farrell.

BURGER: You may be right, but we can't let Patella think he can go on using this sabotage technique of his. I want to mull this over some more before deciding what our answer will have to be. Meanwhile, Ben, you keep a close check on the reject rates. And you, Bob, check on the operation on Line #3 to see if there really is anything to that rumor about our favoring Dawson's crew. Ralph, see what you can find out about that extra wash-up time deal and how Patella feels about it. That's about all I can suggest for now. Let's meet again tomorrow at 10 o'clock and wind this thing up.

Burger's Dilemma

The meeting breaks up and the managers go back to their respective jobs. Plant Manager Burger spends some time by himself trying to resolve the dilemma. He sees two choices facing him: (1) back up Farrell and risk a strike that might be stopped by injunction, or (2) avoid a strike by undercutting Farrell, reinstating Valenti, and asking the men to cooperate in eliminating excess rejects. He does not like either of the alternatives, and hopes he can think of some better way to get out of this jam. At least, he tells himself, he has a night to sleep on it.

Your Analysis?

Has Plant Manager Burger analyzed the situation correctly? ~~You are invited~~ to think through this situation for yourself and decide how you would go about solving it. You will be able to compare your results with the solutions that will be presented in Part II in the July–August issue of HBR, which will describe the Kepner-Tregoe concepts and procedures for problem analysis.

CPM
CERTIFIED PUBLIC MANAGER PROGRAM

CANDIDATE D

EXPERIENCE

1987 - present: Director, Professional Development Center, a new program within the Division of Graduate and Continuing Studies.

Responsibilities: Supervising and coordinating non-credit seminars and workshops for corporations on the Princeton/Route 1 Corridor and New Jersey State agencies. Marketing Representative: independently identifying potential corporate and State agency clients through personal and telephone contacts; responding to all telephone inquiries for seminars and workshops; developing and maintaining mailing lists; coordinating and processing all mailings; serving as a public relations and resource person; interacting with members of the Chamber of Commerce of Princeton; developing contractual proposals; coordinating and organizing all aspects and details of scheduled seminars with Conference Center and faculty. Communicating with corporate and government Training Directors. All correspondence of Professional Development Center.

1980 - 1987: Assistant Director, Division of Graduate and Continuing Studies. Specific responsibilities: Coordination of off-campus credit programs; prepared course schedules; coordinated printing of brochures. Served as liaison with academic departments and administrative offices; Admissions, Bursar and Registrar. Authorized faculty contracts, conducted and supervised in-person and mail-in registrations. Monitored programs. Traveled to all off-campus locations, including Mallorca, Spain. Assisted Director with Summer sessions and contributed to policy-making decisions for the Division.

1977 - 1980: Program Specialist, Division of Adult and Continuing Education. Coordinated new off-campus credit programs. Liaison to in-service Education Directors at hospitals and McGuire Air Force Base.

1976 - 1977: Academic Advisor. Interviewed and advised junior and senior level undergraduates. Evaluated transfer records and transcripts of credits. Prepared and updated student credit-control sheets. Evaluated senior records for graduation. Assisted Registrar with registration.

1974 - 1976: Chestnut Hill College, Philadelphia, PA - Assistant Registrar, Evening Division. Conducted admissions, registrations, course and classroom scheduling. Maintained all academic records of the Evening Divison students. Devised a mailing system and reorganized office procedures which contributed to a more accurate and efficient Registration process. Processed all Admissions applications and student transcript requests. Handled all correspondence for Divison. Directed Summer sessions.

EDUCATION

1987- Seminar (ASPA): Negotiating Skills
1987- Certified Public Manager: New Jersey Department of Civil Service and Rutgers University
1986- Management of Lifelong Education Institute, Harvard University
1974- M.A. English/Education, St. Joseph's University
1969- B.S. English/Secondary Education, St. Joseph's University, Philadelphia, PA

PROFESSIONAL AFFILIATIONS

1987 - present American Society for Training and Development
1986 - present Chamber of Commerce of Princeton
1974 - present Association for Continuing Higher Education (ACHE) National and Regional
Elected to National Board of Directors, 1987

REFERENCES

Available upon request.

Lower Moreland School District (continued)

Teacher (1966-1967)
Developed and administered a Language Arts curricula in a middle school environment with particular emphasis on English.

ADDITIONAL PROFESSIONAL ACCOMPLISHMENTS

Terry Realty 1984
Newtown, PA 18940
Designed and conducted a public relations campaign which was used to develop market penetration and increase visibility for the firm.

Trenton State College 1982
Trenton, NJ 08625

Adjunct Instructor
In an adjunct faculty capacity, conducted an undergraduate course in Critical Reading, Research, and Writing Skills which was a basic requirement for the freshman level curriculum.

EDUCATION

Villanova University (1977) M.A. in English
Villanova, PA 19085

Queens College (1966) B.A. in English
Charlotte, NC 28274

Post-Graduate courses (1977 to present) in Psychology, Group Dynamics, and Effective Instructional Techniques.

AWARDS
Member of Sigma Epsilon - Honorary Literary Society
Veterans of Foreign War - Voice of Democracy Award

PROFESSIONAL AFFILIATIONS
American Society for Training and Development

REFERENCES
Professional and personal references are available upon request

VICE PRESIDENT'S IN-BASKET SOLUTION SHEET

Using the Calendar:

1. Note carefully the dates and times that you will be out of town.
2. What are the implications of Lorraine Jones being out of the office until noon?
3. Note the dates of requests and the lead time needed to complete the materials (for example, the art-work).

Setting Priorities:

1. *Speech Outline* (#6). The president has asked for this material. Time does not allow you to put it off. You are not safe delegating it to Roger Work because his position is likely to be administrative.
2. *Letter to Eric Short* (#5). You may delegate the task of finding a speaker to Roger Work, but you need to write to Eric Short to tell him you have done so. A carbon copy to Paul Anderson would be advisable in case Roger fails to follow through. Because Eric is on the Board of Directors, he is too important not to give special attention to his request.
3. *Sketches* (#14). The president has asked for the sketches, and you have a time constraint. To delegate might be very dangerous, although the actual art work will be produced by someone else from your sketches, so you need to provide lead time.
4. *Press Release* (#10). The president wants a copy on his desk *before* you leave town.
5. *Letters of Condolence* (#13). Time is a critical factor here, and you may not be able to trust anyone else with the "tone" of the letter.

Delegating Responsibilities:

1. Numbers 1, 2, 3, 4, 7, 8, and 12 probably can be delegated to others. However, you must ultimately take responsibility for their work. You must decide whether you want to see the work before it goes out and whether this will be possible. You need to build in some check points.
2. Delegating work for which the president of the company is holding you personally responsible may not be a good idea.
3. You must be careful about delegating too much to any one individual. That person also has other work to do, and yours may not receive top priority.
4. Some items can be taken to New York.
5. You must leave very clear instructions for Lorraine Jones.

Throwing Away:

Items 9 and 11 should be thrown away.

How to Analyze That Problem

Part II of a management exercise

By Perrin Stryker

Part I of this two-installment article on problem analysis, published in the May–June issue of HBR, invited readers to test their reasoning powers against the problems presented in a case history based directly on an actual situation. This case was reported to Kepner-Tregoe and Associates, whose systematic approach to problem analysis, as described in this installment, made possible the correct solution of a very puzzling situation.

Before resuming the action, I will first give a brief synopsis of what has transpired in the first installment and then introduce the characters who appear in this concluding part (all but one of whom appeared in Part I).

The Situation

In a plant making quarter panels and other parts for one of the Big Three auto companies, the Plant Manager and three of his key subordinates are trying to find out why burrs and rough spots are suddenly appearing on so many panels, causing them to be rejected. They strongly suspect deliberate sabotage by the men on the production lines, who are reported to be angry over the suspension of worker Joe Valenti by a hotheaded supervisor, who accused him of drinking on the job. The shop steward threatens to call a strike if the supervisor is not reprimanded for his arbitrary action and also if Valenti is not reinstated.

The Plant Manager collects as many facts as he can in a meeting with his key subordinates, and then adjourns the meeting until the next morning. In the meanwhile, he hopes he can decide what to do. He sees two alternatives: back up the supervisor and risk a strike that might be stopped by injunction; or avoid a strike by undercutting the supervisor, reinstating Valenti, and asking the men on the line to cooperate in eliminating the excessive rejects. The Plant Manager hopes that he can find another, better alternative, however, before the second meeting with his managers.

The Principals

The following short descriptions of the characters who appear in this second part of the article (the names are disguised) may be useful:

- *Oscar Burger, Plant Manager — a tough manager in his late fifties; known for his willingness to listen to others; considered antiunion by the employees.*
- *Robert Polk, Production Chief — a hard-nosed driver, very able technically, but quick-tongued and inclined to favor certain subordinates; also considered antiunion by the employees.*
- *Ben Peters, Quality Control Manager — reserved, quiet, and cautious when dealing with others; extremely confident in his figures.*
- *Ralph Coggin, Industrial Relations Manager — a fairly typical personnel manager; sympathetic to employees; relies on human relations techniques in dealing with the union.*

POLK: The basic problem, Tom, is discipline in the shop. We've been too lax with the men and too soft with the union.

COGGIN: I'd say the real problem is our need to train the supervisors in their responsibilities. Also, we've got a communications problem if a supervisor like Farrell fails to get the message that he must notify me before taking disciplinary action.

LUANE: Let's see . . . that makes six problems you have mentioned — rejects, union antagonism, shop discipline, lack of supervisory training, low morale, and poor communications.

BURGER: Yes, but you could say they're really all part of one whole problem, as I see it.

LUANE: One whole problem? What's that? From what I heard, it sounds like you've got a mess of problems here.

BURGER: What I mean by the whole problem is managing this entire plant so everything runs on schedule and putting out what Detroit wants. Did they teach you how to solve that kind of problem in your training course?

LUANE: Not exactly. But I did learn the difference between a problem and a decision, and I think some of you have been mixing these two things up, from what I have heard.

Defining the Problem

Let us pause here for a moment and see what these managers have been doing. First, Plant Manager Burger checked on the points of information he'd asked for at the previous meeting, and these satisfied him that he was right in assuming sabotage to be the cause of the high reject rates on the panels. He then made several decisions which he judged capable of taking care of both the reject problem and the labor difficulties.

Some of Burger's decisions seem right to Production Chief Polk, who only disputes Burger's handling of Farrell and Valenti; and all seem right to Industrial Relations Manager Coggin, who accepts Burger's reasoning completely.

Then Scheduling Supervisor Tom Luane begins to ask some pertinent questions and finds that each manager is using the word "problem" in a different sense, without realizing it. And they have been repeatedly committing the major error in problem solving — namely, jumping to conclusions about the cause of a problem. For example, Polk says the "basic problem" is lack of discipline in the shop, and he assumes that this problem is the cause of the excessive rejects. On the other hand, Coggin sees one problem as the need for training, which he says is the cause for low morale, and he sees another problem as lack of communications, which he assumes caused Farrell's blunder; while Burger views all these failings and assumed causes as part of one big "problem of managing this entire plant."

These confusions in meaning are apparent to Luane because he has learned to distinguish problems from decisions. He sees any problem as a deviation from some standard or norm of desired performance. And to him a decision is now always a choice among various ways of getting a particular thing done or accomplished. Thus he recognizes that Coggin is really talking about a decision when he says that "our real problem is the need to train supervisors." Similarly, Luane realizes that Burger's "whole problem" is not a mere collection of failures and causes, but a statement describing his responsibility for making decisions as head of the plant. So Luane tries to clarify some of this confusion.

LUANE: I suggest we agree on what we mean by a problem so we can concentrate on that, and not worry right now about any decisions or any causes. The simplest way to solve a problem is to think of it as something that's wrong, that's out of kilter, something we want to fix. If we identify that for sure, then we can begin to look for what caused it; and when we've found the cause, then we can get into decision making, which is choosing the best way to correct the cause.

BURGER: But it isn't that simple, is it? We want to correct a lot of things around here, and they're usually mixed up together.

LUANE: Yes, but you can't work on them all at once, and you can't solve a lot of problems by correcting just one of them.

BURGER: OK, let's go along with Tom on this, but I personally think there are times when you can solve a lot of problems by solving one key problem.

LUANE: I think you'll find that the key problem is almost always at the end of a chain of other problems and causes. That is, the cause of one problem is itself a problem, and its *ousness, and growth trend of the problem. Having settled on the reject rate as the most important problem, they now are ready to start analyzing it.*

LUANE: How would you describe this reject problem, Bob?

POLK: Why, I'd say the problem is that the reject rates are way out of line.

LUANE: How about you, Mr. Burger?

BURGER: Let's see. I'd say it was too many burred panels.

LUANE: And you, Ben? Haven't heard a peep out of you for some time now.

PETERS: I guess I'd go along with Bob on the reject rates being beyond tolerance.

LUANE: We'll have to get more specific. We're trying to describe this exactly. As an overall description, how about "Excessive rejects from burring on quarter panels"? Anyway, let's write that down for a starter. (*He goes to an easel blackboard and writes these words out.*) Now we have to dissect this problem in detail, getting specific facts about it in four different dimensions — *What, Where, When,* and *Extent.* (*He writes these four words down on the left side of the blackboard.*) What's more, we want to get two sets of facts opposite each of these dimensions — those that describe precisely what the problem Is and those that describe precisely what the problem Is Not. (*He writes* Is *and* Is Not *at the top of two columns of blank space.*)

POLK: What's all this for, anyway? Are we drawing a chart or something?

LUANE: Sort of a map. This is the specification worksheet, and the point is to fill the Is column with only those things directly affected by the problem. In the Is Not column we will put the things that are closely related to the problem but not affected by it. You'll see why we do this in a few minutes.

BURGER: OK, but I hope this doesn't take too long. Sounds kind of detailed to me.

LUANE: It's pretty simple, actually. Under *What,* we can first put down "burrs" as the deviation in this Is column, and "any other complaint" in the Is Not column, since, as I understand it, there are no other complaints reported on these panels. But we can be more specific here, too. For instance, what did this deviation, "burrs," appear on? Were they on all kinds of panels?

POLK: No, Tom, just on the Panther panels, not the Cheetah panels.

LUANE: So we can put down, under *What,* the words "Panther panels" in the Is column, and "Cheetah panels" in the Is Not column. Got the idea?

POLK: I guess so, but it sounds a little too simple to me. Why bother?

LUANE: The point here is we're trying to separate what the problem Is from everything that Is Not the problem. We're aiming to draw a tight line around the problem, to describe it precisely, and later you'll see how this gives us the clues to the cause of the problem.

POLK: I hope so.

LUANE: Now we do the same thing for this *Where* section of the specification. Where was the deviation seen on the objects affected? Obviously, the burrs appeared on the Panther panels, so we put this down under Is. Also, where in the plant were the burrs observed?

BURGER: So far, only on lines #1, #2, and #4, but with Line #3 expected to go bad any minute.

LUANE: So under Is of this *Where* section we can put "lines #1, #2, and #4," and under Is Not, we can put "Line #3." Also, we have to fill in the Is Not opposite the words "Panther panels." Where didn't the burrs appear?

POLK: Nowhere else. We all know that.

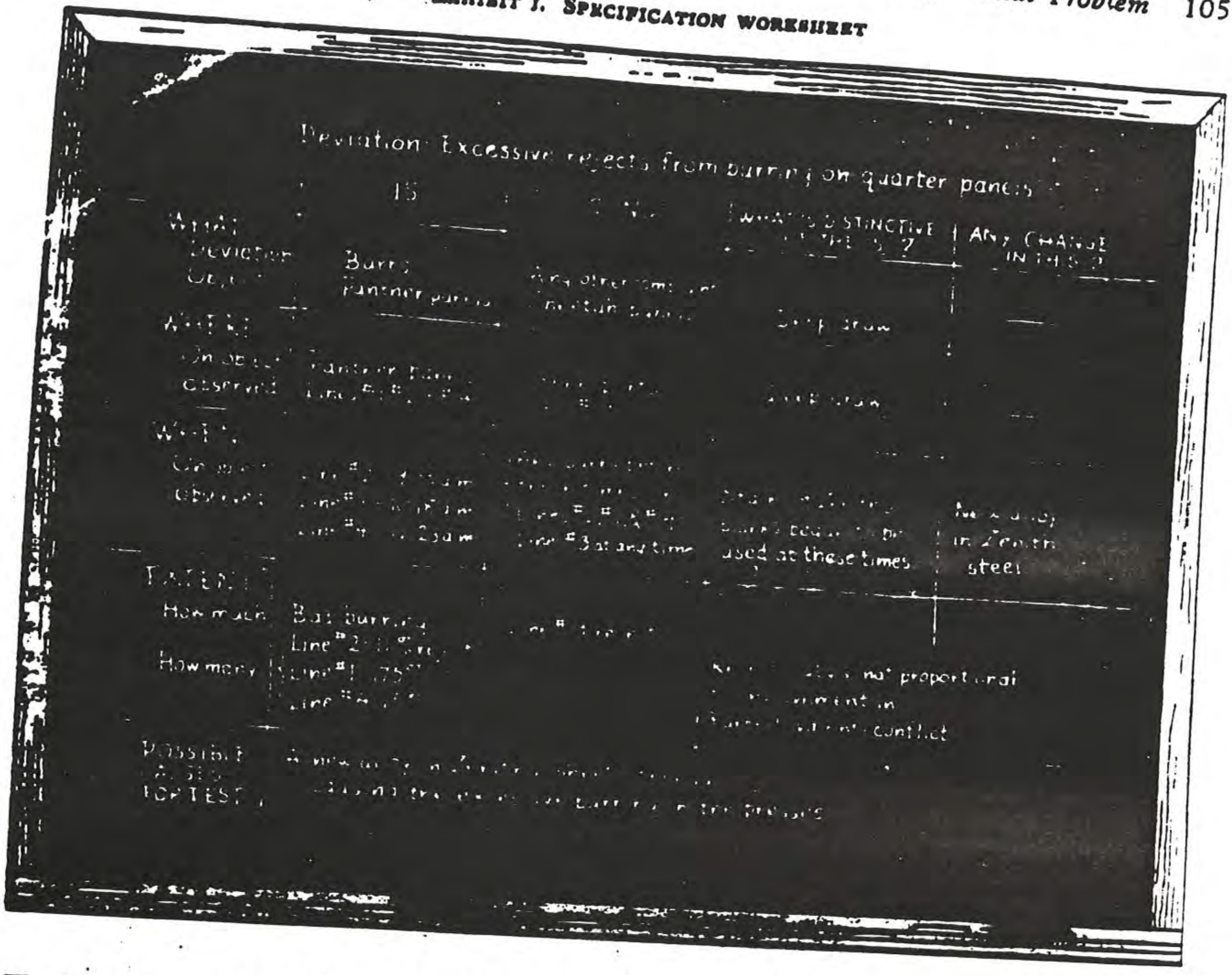
LUANE: I know, but we've got to make this specification as accurate as possible. We can put down "other parts" under Is Not, since we know no other parts were affected.

POLK: I can't see where we're going with all this business.

BURGER: Neither can I, Bob, but let's let him finish.

LUANE: Now we come to the *When* part of this specification. Here we ought to be extra careful and get exact times, if possible. Ben, what times did those reject rates start going up yesterday morning?

EXHIBIT I. SPECIFICATION WORKSHEET



The Panther panels are a deeper draw than the Cheetah panels.

LUANE: That's a distinction all right. We'll put down "deep draw" as a distinction in this *What* section of the specification. (*He writes the distinction off to one side of the blackboard.*) Now can you see any distinction in the *Where* section?

BURGER: I don't see any distinction there, like in the first case. Nothing distinctive of "Panther panels" as opposed to "other parts" that I can think of. Then you've got lines #1, #2, and #4 on the Is side and Line #3 on the Is NOT side, and these lines are damned similar, except that Line #4 is a slow, old-time press. But that would only distinguish Line #4 from lines #1 and #2, which isn't what you're asking for.

LUANE: No, we don't want a distinction like that, between things that are together on the Is side. We're looking for what sets the Is apart from the Is NOT.

POLK: How about saying that Panther panels are distinctive of those three lines on the Is side? Line #3 makes only Cheetah panels, as we said a moment ago.

LUANE: We can put it down if we want to, but it's really a contrast we already have in our specification, and not a distinction. It's the same contrast we have here in the *What* section between Is and Is NOT. What we want is something that really sets lines #1, #2, and #4 apart from Line #3.

POLK: Then the only distinction you have there is that same "deep draw," as we said before.

LUANE: I agree. We'll put it down again in this *Where* section. Let's go and see what distinction we can find in the *When* section, where we put down the different times that the burrs showed up on lines #1, #2, and #4.

after they started using stacks of blanks delivered to the floor Wednesday morning.

LUANE: Looks like that gives us a distinction for the *When* section. We can call it, "Stacks of Tuesday's blanks used up at these times."

POLK: But how about Line #3? Ben, did your man get the time that Dawson's line finished using its supply of Tuesday's blanks?

PETERS: Yes. At 8:30 yesterday morning.

POLK: And no bad burring started on Line #3, so what's the importance of this distinction?

LUANE: We can't tell yet, Bob, but we'll just put it down for now. That seems to complete our distinctions, unless anyone sees any more in this specification. If not, we can proceed to look for the possible causes of this problem.

Seeking the Cause

At this point these managers have presumably collected all the relevant information that describes their problem precisely and have dug out those distinctive things in the Is *facts that are characteristic marks of the problem. But they had trouble spotting the distinctions, as Luane expected. Also, one of them, Peters, introduced a couple of hunches into the discussion, exhibiting a tendency to "feel" that things are connected somehow or are important.*

Note that Luane does not completely discourage such hunches, only recommends they be set aside until later. But note, too, that Peters' reasoning about his first hunch is faulty, as Polk quickly points out, while his second hunch is simply another example of jumping to a conclusion about the cause, as Luane points out. It is Burger who seems to be the sharpest here in spotting a distinction, after stumbling at first. By this time apparently only Industrial Relations Manager Coggin is still interested in the "human side of the problem," as he puts it, but his job is, of course, most directly concerned with this angle.

Luane, by keeping the discussion on the specification, prevents a time-wasting digression. He also warns Polk against prematurely judging the last distinction (about using up Tuesday's blanks) as useless just because it doesn't seem to fit in with another fact in the specification — that is, the absence of serious burrs on Line #3.

Now Luane introduces the managers to a concept that lies at the heart of problem analysis, the concept that the cause of every problem is a change of one kind or another.

LUANE: The distinctions we've gotten out of the specification give us the areas where we can look for possible causes of these burred panels. Let's look for any changes we can find in any of the distinctions. What's new or different in these distinctions? We probably won't find many. Maybe only one.

BURGER: Do you mean any kind of change?

LUANE: No, only those changes which have occurred within one of these areas of distinction, or have had an effect on one of them. We can start with that distinction of "deep draw."

POLK: I can't believe that a change is always the cause of a problem. It can be any little thing, or some goof-off, or bonehead action.

LUANE: Maybe those things go along with the cause, but I think we'll find here that these burred panels are being caused by some change. Also, Mr. Burger, I meant to point out that we don't want to go looking for everything that's changed, or we'll be here all day. There are things changing all over the plant all the time. But what we want to find is any change that's in one of these areas of distinction.

POLK: I'm not convinced, and what's more I don't see anything changed in that "deep draw" distinction. The deep draw is standardized on all three presses making it, and has been for months.

LUANE: OK, so there's no change there. But what about that distinction we were going to check out in the *When* section? What's changed about those "stacks of Tuesday's blanks used up at these times"? Anything new or different about these stacks?

PETERS: Well, the shift from Tuesday's blanks to Wednesday morning's blanks would be a change.

LUANE: That sounds like a real change to me. Wednesday's stacks are the new blanks the lines started to work on just before the burring started.

BURGER: If that's the cause of these rejects, how do you figure it? I can see that if Wednesday's blanks were different in some way from Tuesday's, that might make them the cause of the rejects.

dropped this as a possibility, especially when the labor trouble looked so hot.

LUANE: Then that means we should change that distinction in the *When* section of our specification to "Stacks of *Zenith's* blanks began to be used at these times."

POLK: How will that help? Dawson's Line #3 is also using Zenith blanks, and there's no burring there.

LUANE: That's jumping to a conclusion about the cause. Let's look for a change in this revised distinction. Is there anything new or different about Zenith's sheet steel? How long have we been using it?

POLK: We signed the contract a month ago.

PETERS: Yes, but we didn't get delivery right off. The first shipment didn't actually get here until two days ago.

COGGIN: Matter of fact, Ben, we didn't get those Zenith sheets until late Tuesday. I know, because one of the men got hurt unloading them that evening. He wasn't familiar with the way Zenith blocks the sheets for shipment.

LUANE: Let's concentrate on what's new or different in Zenith's sheets.

PETERS: I think they're just the same as we got from our other sheet-steel suppliers.

LUANE: Are you sure?

PETERS: Pretty sure. We specified a slightly different alloy for Zenith's sheets, but not enough different to matter.

LUANE: Well, anyway, the new alloy is a change in an area of distinction. What is distinctive about those burring times is that stacks of new metal began being used then, and the change here is that a slightly different metal is going into the presses. We can state the possible cause this way — "A new alloy in Zenith's sheet steel is causing the excessive burring in the presses."

BURGER: Ben just said he thinks the alloy change wasn't enough to matter.

LUANE: I know he did, but it was a change in an area of distinction, so it's a possible cause. We can test it against the facts in the specification. Could this change — the slightly different alloy — explain the appearance of excessive burrs in the Panther panels, but not in the Cheetah panels?

COGGIN: No, it couldn't, because the Cheetah panels aren't having trouble with excessive burrs.

POLK: Hold it a moment! Maybe the alloy could explain it. It just dawned on me that Engineering did say something about those Cheetah panels a couple of months back. Something about how their shallow draw would make it easier to use a tougher alloy in the blanks. That could mean the Panther panels are fouling up on these Zenith blanks with the new alloy! Let's check it! (*He picks up the phone and calls Engineering, which immediately confirms his hypothesis.*) Engineering says the new alloy in the Zenith sheets makes the Panther panels much more likely to burr than the Cheetah panels.

LUANE: Looks like you've found it, Bob. We could go on and test this out against the rest of the specification, but I'd say you've probably discovered the most likely cause of the excessive burrs. I suggest you have Engineering verify this.

POLK: That's easy. We can do it before lunch right on the lines.

BURGER: What if we find this "most likely cause" isn't the answer?

LUANE: Then we'll have to respecify all over again, sharpen up the facts even more, and look for other distinctions and changes. But it looks like we've really spotted the change that's causing the trouble. In this case, the new alloy is the change, the metal supplied by Zenith is the distinction, and the deep draw on lines #1, #2, and #4 is another, added distinction. In other words, the most likely cause turned out to be a change *in* a distinction *plus* a distinction.

COGGIN: You mean, Tom, we've got to go through this whole business every time in order to solve every problem?

LUANE: If you don't know the cause of the problem for sure, I'd say yes. There may be some times when you can spot a change in some facts about a problem right off and hit the cause at once. Sometimes you can just go through the process mentally, for it tells you the relevant questions to ask about every problem. But you'd better check any possible cause out carefully, and you really can't check completely unless you have a complete specification of the problem in front of you. If you don't check a possible cause this way, you may be taking action

SOLUTION

Deviation: Excessive rejects from burring on quarter panels

	IS	IS NOT	What is Distinctive of the Is?	Any Change in This?
WHAT Deviation Object	Burrs Panther Panels	Any other complaint Cheetah panels	Deep draw	—
WHERE On object Observed	Panther Panels Lines #1, #2, & # 4	Other parts Line # 3	Deep Draw	—
WHEN On object Observed	Line #2-9:33 a.m. Line #1 10:18 a.m. Line #4 11:23 a.m.	Any burrs before these times on Lines #2, #1, and #4. Line #3 at any time	Stacks of Zenith's blanks began to be used at these times	New alloy in Zenith Steel
EXTENT How much How many	Bad burring Line #2-11% rejects Line #1 17.5% rejects Line #4 15% " "	Line #3 rejects	Reject rates not proportional to involvement in Farrell-Valenti conflict.	
Possible Cause For Test	A new alloy in Zenith's sheet steel is causing the excessive burring in the presses.			

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IV. Improving your Personal Effectiveness in Managing Conflict

A. The 3 stages of accomodation to dissonance (conflict)

1. Passive-Aggressive (Covert)

conflict

2. Overt Expression

3. Introspective Sharing