Instant Supervising, just add Practice
OPENING

- Welcome
- Introductions
SUPERVISING AND LEADERSHIP

LEARNING OBJECTIVES

Become familiar with basic theories and practices of supervising and leading in an organization
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AGENDA

1. Introduce some supervising models
2. Review Supervising Fundamentals
3. Apply concepts to scenarios
4. Send out material on more advanced leadership models.
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Benefits

Familiarized with proven theories to help you become a more effective supervisor

More expertise, skill, and confidence in yourself while performing this role
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DEFINITIONS

Management
- Decisions about resources: finances, human capital (HR), and fixed assets to achieve organization’s goals and objectives

- Elements: Planning, Organizing, Controlling, Monitoring, Staffing, Supervising, & Leading
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DEFINITIONS

**Staffing:**
- Develop position description (PD)
- Recruit, hire, compensate, promote, transfer, terminate

**Supervising:**
- Pass on tasks to employees & monitor
- Inform, update, advise
- Train and develop
- Evaluate…
Leadership

- more in the communication/human relations realms
- Verbal/non-verbal communication (lead by example)
- influence, get others to do what they would not otherwise do on their own
- being visionary (communicate the vision & inspire)
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THEORIES

- Theory X:
- Theory Y:

Comments:
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TYPES OF POWER/RELATIONSHIPS

1. **Position:**
2. **Knowledge:**
3. **Personal:**

- Supervisor should not be Personal Friend with subordinates: creates many problems...
- Should be similar to a Customer Service Relationship: the Supervisor is the CUSTOMER
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HAWTHORNE EFFECT
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WORK ENVIRONMENT

ENGAGEMENT
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OPERANT CONDITIONING

1. Ignore
2. Punish
3. Negative Reinforcement
4. Positive Reinforcement
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QUESTIONS???
CHARACTERISTICS OF AN EFFECTIVE SUPERVISOR

- Effectively communicates to employees their responsibilities, duties, and goals and their due dates
- Gets employee commitment to getting tasks done
- Keeps projects on track and under control to ensure timely completion
- Ensure proper tools and sufficient training are available for timely completion
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**KNOWLEDGE, SKILLS, ATTRIBUTES, MOTIVATIONS**

- Knowledge of the big picture, mission, objectives, policies of the organization and operations under his/her control; also knowledge of responsibilities, tasks of the employees.
- Supervising skills.
- Attributes of a supervisor.
- Motivations aligned with the organization’s mission, objectives along with honor and integrity.
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CHARACTERISTICS OF AN EFFECTIVE LEADER

- Visionary, looks ahead and sets goals that give purpose and direction to the work employees perform
- Sets proper example and establishes standards of conduct and performance on the job
- Demonstrates conviction and takes ownership of tasks and projects to be done to inspire the employee to do the same.
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ASSIGNING WORK

- Describe clearly and completely what you want the employee to do and set a due date.
- Check for understanding and listen to what they have to say.
- If necessary, emphasize the necessity of getting the assignments completed.
- If appropriate, express confidence in and appreciation of the employee.
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TRAINING TO LEARN A TASK

1. Tell ‘em
2. Show ‘em
3. Watch ‘em
4. Give feedback and answer questions....
DELEGATING TASKS, DUTIES, AND RESPONSIBILITIES

- Delegate, to give you more time to do the things that are higher impact and/or your employees are less able to do than you are.
- Delegate what your employees are able to do or you can train them to do.
- Ensure that they have necessary tools in addition to necessary training.
- Be available for consulting and helping with the challenges that they will face.
- Delegate more to those who are proactive and desire to move up in the organization, while keeping equity in mind.
- Keep anything that should remain confidential to yourself, unless your employees have authorization AND need to know.
- Keep HR compensation policies, union agreements, and equity in mind when delegating.
PLANNING ONE-ON-ONE COMMUNICATIONS

- Clarify in your own mind why you are having discussion and what your objectives are (agenda)
- Review One-on-One discussion principles (below)
- Think through what you want to get across to the employee (the take-aways)
- Anticipate the employee’s reaction, to keep your emotions under control
- Review/practice the appropriate one-on-one discussion guide.
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ONE-ON-ONE DISCUSSION PRINCIPLES

○ Maintain employee’s dignity and self-esteem
○ Listen and respond to what the employee tells you
○ Ask for input from the employee
○ Maintain control and keep the discussion on track
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EFFECTIVE LISTENING

- Look interested (active listening) to encourage the employee to be comfortable and candid
- Ask open-ended questions that require more information (active listening)
- Show that you understand how the other person feels (empathy)
- Summarize by paraphrasing.
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RECOGNIZING WORK PERFORMANCE

- Describe specifically why the employee is being recognized
- Explain why the employee’s work accomplishment is important and how it supports the organization’s mission, objectives, goals, or values
- Express your personal appreciation for what the employee did
- Express your confidence in the employee’s ability
- Thank the employee again and tell them to keep up the good work.
PREPARING FOR PERFORMANCE APPRAISAL DISCUSSION

- Review the completed performance appraisal that you and the employee completed.
- Review other information pertaining to employee’s job performance.
- Review the One on One Discussion Principles section (above).
- Establish clear goals (take-aways) that you want to get across to the employee.
- Anticipate the employee’s reaction.
- Practice planned discussion in your mind, to increase your effectiveness.
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ACTUAL PERFORMANCE APPRAISAL DISCUSSION

- Greet the employee in a friendly manner and ask them to sit down.
- Tell the employee that during the meeting you want to concentrate on discussing his/her job performance.
- Briefly review appraisal process and explain why we do performance appraisals (to create goals and give feedback that acknowledges desirable behaviors and discourages undesirable ones).
- On each section of the appraisal form, discuss key points and ask for employee input.
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PERFORMANCE APPRAISAL DISCUSSION (continued)

- Summarize and get employee commitment to planned action goals for next period: **STOP, START, CONTINUE...**
- Ask the employee to review the form and sign it
- Close the discussion by expressing confidence in the employee and offering your help
- Inspires employees to do their best and be resourceful and proactive to exceed expectations
- Through coaching, encourages employee to accept challenges and develop
- Encourages the exchange of ideas and concerns.
CORRECTING UNACCEPTABLE WORK HABITS/PERFORMANCE

...THROUGH COUNSELING/COACHING

- Describe in detail the unacceptable work habit or work performance you have observed
- Explain why it concerns you in terms of how it affects the operation
- Ask the employee for reasons and listen openly to the explanation
- Indicate that the situation must be corrected
- Ask employee for ideas for solving the problem; discuss each idea
- Agree on specific actions to be taken by the employee and emphasize the employee’s responsibility to do so; assign deadline
- Later on, show continued interest in the employee’s performance and give feedback on their efforts (schedule feedback meetings): positive feedback and encouragement for success and constructive feedback to correct when they miss the mark.
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CORRECTING UNACCEPTABLE WORK HABITS/PERFORMANCE AFTER COUNSELING/COACHING HASN’T WORKED

- Performance improvement plan (shortened contract)
- Work with manager and OHR beforehand
- Write specific improvement goals with deadlines
- Provide tools and training to aid in improvement
- Meet with the employee periodically and often giving feedback of improvement or lack thereof
- At the end of the period, decide with manager and OHR whether the employee remains in the position or is to be transferred/discharged.
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FOUR STEPS TO DISCIPLINE (for violation of policy)

- **Pause** – don’t act when you are angry, you will regret it
- **Investigate** thoroughly, there is always more than meet the eye
- **Assess**, and maybe discuss privately with HR or somebody with experience and objectivity
- **Discipline** if the behavior is significant enough or has recurred too many times.
PROGRESSIVE DISCIPLINE

- Proportionate response to the violation or performance issue

- Progressivity is fair to the employee, b/c it gives opportunities for correction and shows that employer is fair and just as opposed to capricious

- Ensure equity in treatment– each case should be compared to how other similar cases were handled.
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FORMAL DISCIPLINE MEETING

- Describe the disciplinary action you are taking at this time
- Explain the impact on the operation of the unacceptable behavior
- Have the employee sign the disciplinary action form
- Tell them what the next step of discipline is if they fail to correct the behavior
- Express confidence in the employee’s ability to correct the situation

NOTE: None of this should be a surprise, b/c the supervisor already did ample counseling/coaching.
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ELEMENTS IN WRITTEN RECORD OF DISCIPLINARY ACTION

- Rule or policy that was violated or the aspect of the work performance that is unacceptable
- When, where, and how the rule or policy was violated
- Why the behavior described is unacceptable
- Previous violations (if any) that have a bearing on action being taken at this time
- Disciplinary action being imposed as a result of this violation
- What will happen if there is a similar violation in the future.
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HANDLING EMPLOYEE COMPLAINTS

- Listen intently and actively try to understand; sometimes just understanding and caring is all they need.
- Get all the details of the complaint and make notes.
- Openly state what you plan to do.
- Thank the employee for bringing the complaint to your attention.
- Complete the planned action(s) and follow-up communication with the employee.
Change is inevitable; strategic communication is the key to effectively managing change.

Everyone will feel some threat from change.

People react to change in 1 of 2 ways:
- Type “D”- Defensive, resisting or fighting.
- Type “O”- Opportunistic, get it done.

Talking about resistance causes it to diminish and makes Type “O” behavior more likely.

The more time spent discussing a change, the less threatening the change becomes.
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COMMUNICATING CHANGE

- Clarify in your own mind why the change is necessary, and what it will involve; show conviction!
- Clearly state to employees:
  --What the change will be
  --Why the change is needed
  --The importance (or inevitability) of the change
  --When the change must be completed.
- Your conviction that the change can be accomplished.
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COMMUNICATING CHANGE

- Ask for input from the employees and expect resistance (If no one says anything, tell them you need to know how they feel about it)
- Listen and acknowledge what employees say about the change
- Reemphasize the need for (or inevitability of) the change and the need for them to support it, but also take their concerns seriously and create plans to accommodate what you can
- Express confidence in the future and encourage their further input
- Follow-up often, solicit input, and continue to communicate about the change.
DEALING WITH RESISTANCE TO CHANGE

- Meet one-on-one with resistant employees (see One-on-one Principles above)
- Acknowledge the employee’s concerns and paraphrase them
- Restate the importance of accomplishing the change and point out the positive aspects of the change
- Offer to participate with the employee in solving problems associated with the change
- Express confidence in the employee’s ability to carry out the change.
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EQUITY

- Equity should be considered in EVERYTHING that you say and do.
- All employees compare their situation with others through their perspective (which is never fully accurate), so it is an impossible state of being.
- If they believe they are inequitably treated there are 4 outcomes:
RESPONSES TO IN EQUITY

The employee will...

1. Take action by complaining to supervisor (constructive) and others (not constructive)
2. Rationalize and keep head down
3. Reduce input to get even -- passive aggressive
4. Leave...

If supervisor is unaware or ignores these perceptions, it will fester resulting in low morale, performance and poor retention.
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SITUATIONAL LEADERSHIP

Take-away

Supervisor/leader adapts style to the employee based upon the job type, developmental or readiness level of the employee.
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SITUATIONAL LEADERSHIP

Essence of this model

The KEY is to...

1. Analyze job
2. Analyze employee
3. Choose/apply appropriate style.

The answers/conclusions are not always definite. People are complex, unpredictable, dynamic, change day-to-day, minute by minute...

...but this process is.
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SITUATIONAL LEADERSHIP

MODEL TYPES

Based upon employee’s knowledge, skill, development progression

- **D1**: Entry level in the ORG; higher level but new to the ORG or the industry/field; not new to the ORG, but new to the position (promotion/transfer).

- **D2**: After some time has passed and some development has occurred; person has mastered some tasks; confidence is up; commitment still needs work

- **D3**: highly competent; variably committed

- **D4**: highly competent; always committed; trustworthy, reliable; dependable when nobody is watching
SUPervising and Leadership

Situational Leadership

SHOW THE MODEL

The Four Leadership Styles (S1-S4) (thanks Paul)

- S1 – Directing (high directive, low supportive behavior)
- S2 – Coaching (high directive, high supportive behavior)
- S3 – Supporting (low directive, high supportive behavior)
- S4 – Delegating (low directive, low supportive behavior).
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Matching Leadership Style to Development Level

○ **D1-S1:** Employee needs more structure, control, increased direction and oversight to complete the job duties well.

○ **D2-S2:** Continued direction and reinforcement is necessary for how do the job well. As they get it and perform, a high relationship to coach and connect with the employee is helpful. You’re demonstrating that you’re on their side and committed to their success.
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Matching Leadership Style to Development Level

- **D3-S3**: At this stage, they understand how to perform in their various job duties and are consistently performing well. The employee is still looking for the support, encouragement and reinforcement that they’re meeting and exceeding expectations.

- **D4-S4**: At this level, the employee is both performing at a high level and doesn’t need much from you. All that may be necessary is reinforcing the quality work that is being done. You don’t want to completely ignore them, but there’s high confidence that you have in them and they have in you.
COACHING

A leadership model that fosters a purposeful partnership with the employee.

Done by using purposeful questioning of the employee to elicit deep thought, insight and self direction along with intense listening.
CONCLUSION

- This was just a quick overview
- Need to do much more reading, training, and practicing...
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NEXT STEPS...

I will send you:

- This presentation
- Situational Leadership model & presentation
- More scenarios
- Leadership Reading summaries from OSU managers