

SLCC Leadership and Supervision Best Practices

April 18, 2006

By: Craig Gardner, Director, Human Resources
Mozelle Orton, Director, Equal Employment Opportunity

Section I.

A. Self-Knowledge for Leaders

1. Know your learning/working style and preferences and how they would best relate to others in order to create the highest productivity and cooperation
2. Know your personal belief systems, assumptions, and patterns of behavior from a variety of perspectives such as: knowledge areas and implementation practices
3. Know and utilize various networking tools and methods, and apply them appropriately in the internal and external professional environment
4. Exercise effective personal management techniques by establishing and maintaining a personal constitution- purpose or value statement- and tracking progress in your professional goals and objectives
5. Know your own leadership/management styles (strengths and weaknesses)
6. Develop and execute a self-improvement plan to address desired leadership behavior(s) in need of improvement

B. Systems & Strategic Thinking

1. Know the concept of open systems and systems thinking in terms of the following elements: global environment, boundary, purpose, goals, inputs, processes, feedback loops, and outputs
2. Know and understand the influences on and the impact of this organization's culture and climate in a public sector environment
3. Perform and maintain an organizational analysis, examining structural, human resource, political, and symbolic/cultural factors, of your supervision area to determine impacts and opportunities
4. Diagnose the types of control, power and influence at play in both the macro and micro organization, determine their impact, and navigate/respond to each
5. Recognize historical management philosophies and the impact on your practices
6. Utilize the 'planning strategically' process, from preparation to implementation

C. Personal Communication

1. Exercise appropriate active listening behaviors
2. Solicit effective feedback from employees regarding specific management issues
3. Deliver behavior-specific feedback to colleagues, superiors and/or subordinates
4. Exercise the components of effective negotiation processes
5. Identify and improve your personal communication pattern

D. Facilitation & Meeting Management

1. Know and utilize the different types of meetings, meeting structures, roles and responsibilities
2. Identify and correct blocking and facilitating meeting behaviors
3. Prepare an effective meeting agenda
4. Employ various tools to manage and facilitate effective meeting behaviors
5. Structure and facilitate effective meetings, and make corrective adjustments
6. Exercise facilitation skills when in a participatory decision-making process

E. Work Contracting

1. Use effective work contracting/delegation processes
2. Evaluate work contracting/delegation processes and results; make and implement improvement plans

F. Manage Conflict

1. Understand the types of resistance to change and how they can be managed effectively
2. Know the positive and negative aspects of conflict and when to use conflict resolution or conflict management
3. Use effective conflict source identification and employment of resolution process techniques
4. Use solution strategies/techniques to manage/resolve conflicts

G. Performance & Motivation Systems

1. Use effective performance management/assessment tools and methods relative to motivational theories and administrative factors
2. Identify key human motivators in employees, and use effective strategies to maintain/increase performance through these motivators
3. Know the distinguishing features of corrective action and discipline and the processes for conducting corrective action and discipline
4. Know how due process applies to this institution, and to how it applies to your responsibilities
5. Know where to find performance management policies and procedures, including sample forms, etc. for corrective and disciplinary steps
6. Know how to write a corrective or disciplinary action plan for a particular situation

H. Performing Human Resource Functions

1. Know and utilize the laws, policies and procedures impacting recruitment, selection and staffing
2. Know when to identify possible workplace accommodations for employees with a variety of conditions qualifying for an accommodation under the Americans with Disabilities Act
3. Know how to perform a job and position analysis (defining tasks, essential functions, physical requirements, knowledge, skills, abilities, and other criteria) to prepare for a recruitment/selection process; update all current positions with a job and position analysis
4. Exercise effective selection interview techniques
5. Know the purposes and methods of salary survey practices
6. Know the points of major employment laws (including FLSA, ADA, FMLA, USERRA, etc.) and how they affect your work area
7. Understand various compensation strategies and methods and recognize their impact on culture and climate, recruitment/retention, employee development, motivation, and other organizational elements

Section II.

A. Risk & Liability Management

1. Know and identify sources/types of risks and liabilities for your work area, including areas of liability established by federal and state statutes
2. Know agency-specific areas of risk established through administrative rule, policy and procedure and/or practice
3. Know administrative techniques for controlling and financing liability prevention and loss
4. Know administrative actions a supervisor/manager can take to avoid personal and organizational liability
5. Conduct a risk review of your area of responsibility, identifying specific problems, issues, or areas of liability and risk and developing a realistic and workable intervention plan
6. Understand the legal process/procedure defined by this institution to address a liability suit against a manager/agency

B. Group Dynamics & Team Development

1. Know the characteristics of teams verses groups
2. Know and appropriately use types of teams such as work teams, special project, and quality improvement teams
3. Apply stages of team development and appropriately use ways of providing team direction in each stage
4. Write a team charter, a mission, goals and objectives, and a code of conduct
5. Apply appropriate leadership approaches in various stages of a team's development
6. Observe and assess stages of team development and team maturity in your team environment and make improvement corrections
7. Know the various group/team decision-making methods, their advantages and disadvantages, and exercise selection and application of a variety of methods appropriate to given situations

C. Managing & Valuing Diversity

1. Respect diversity and recognizing the impact and potential that differences in sex, age, religion, nationality, color, physical ability, and other cultural and physical factors have on this institution
2. Use strategies and tools of managing and utilizing diversity to maximize benefits and minimize difficulties in the workplace
3. Help other people understand their personal patterns of behavior and what it means; teach the other person how to effectively adjust to patterns of behavior; inquire about and seek understanding why another person behaves as he or she does and how he or she interprets and feels about your behavior

D. Data Gathering and Decision-Making

1. Apply workflow assessment tools to design a workflow process improvement plan in your area of responsibility
2. Apply various tools, techniques and instruments in complex decision making/problem solving processes for idea generation, prioritization, data gathering, analysis, and selection
3. Identify obstacles to effective decision making and problem solving and apply solutions for them

E. Developing Human Capital

1. Know the various terms and methods used to carry out employee development
2. Design employee development methods modified to accommodate the diversity of the individuals involved
3. Assess your employees to determine appropriate development approaches
4. Know effective teaching/learning strategies for adult learners of various learning styles
5. Evaluate employee development processes and make improvement adjustments

F. Organizational Values & Ethics

1. Know this institution's management philosophies and practices, including vision, mission and goals
2. Be familiar with pressing ethical public service dilemmas
3. Know the main points of a Code of Ethics for Government service as defined by the U.S. Congress, know our Code of Ethics policy
4. Use an ethics decision-making model to think through an issue and determine the most appropriate choice of action to be taken
5. Describe the code of ethics for your profession/technical
6. Use an ethics management process

G. Customer Relations

1. Use effective processes of creating and maintaining relationships with customers
2. Exercise various tools to identify customer needs and expectations
3. Use customer information for continuous service improvement and evaluation

H. Public Budgeting & Finance

1. Know phases of our budget cycle (including preparation, review, fund appropriation, auditing, etc.)
2. Know major accounting and budget terms and
3. Compare and contrast the major revenue sources available to this institution (tax revenue including dedicated taxes, grants and contracts, fees for service, etc.) and identify principal arguments for and against the use of each
4. Know the differences among the three major alternative processes available for government budgeting (object budgeting, program budgeting, zero base budgeting), and the strengths and weaknesses for each
5. Apply a simple cost-benefit analysis to your budgetary decisions and make appropriate adjustments

I. Presentation & Promotion

1. Know how to create an effective marketing/promotion plan for your needs
2. Demonstrate the ability to create and deliver quick or spontaneous informal presentations to various individuals, organizations, and/or media
3. Know the principles of effective public relations relative to representing a public agency

Section III.

A. Project Management

1. Be able to create a complete project proposal (including opportunity/risk analysis, timelines and budget/funding information)
2. Exercise project management tools and techniques to establish roles and responsibilities, define activities, develop schedules, manage resources, track progress, and evaluate results for a project management plan

B. Organizational Change & Transition

1. Know the comprehensive strategies for managing a planned organizational change
2. Know how to develop and be able to execute an organizational change initiative (following phases of a problem-solving or organization development model such as chartering/contracting, assessment and feedback, action planning, intervention, evaluation, and exit)
3. Demonstrate skill in influencing groups toward change strategies, norms, traditions, etc...
4. Know the methods and understand the pros and cons of major organizational improvement tools (including strategic planning, reengineering, total quality management, benchmarking, teams, and privatization)

Section IV.

A. Complaint Resolution Best Practices/Responsible Care

1. Develop and maintain appropriate job related relationships
2. Multiple points of contact for receiving complaints
3. Confidentiality of the process
 - a. assure confidentiality to the greatest extent possible
 - b. define 'need to know' basis
4. Timeliness and overall quality of the investigation
 - a. provide for prompt, thorough and impartial investigation of complaint
 - b. duration of investigation is reasonable and adheres to policy
5. Training is provided to all employees
 - a. clear definition of harassment and concrete examples of prohibited conduct
 - b. a procedure for making an internal complaint
 - c. offer multiple avenues to complain
 - d. require immediate reporting of complaints
 - e. state that violators will be subject to disciplinary action, up to and including, termination
6. Policy is distributed to every employee (get signed acknowledgement)
 - a. prohibit all types of discrimination / harassment
 - b. include defining the anti-retaliation provision

B. Investigation process

1. Address the Allegation: Who, what, when, where, and why
2. The investigation was adequate
 - a. prompt
 - b. thorough
 - c. un-biased
 - d. policy driven
3. The organization was non-biased
4. Effective corrective action will be administered
5. Prior complaints were addressed
6. Ask appropriate follow-up questions
7. Interview all relevant witnesses
8. Investigate and address all issues and bases of the complaint
9. Identify, review, and/or analyze relevant documents
10. Go to the breadth and depth of the investigation findings
11. Assess findings to the policy(ies) standard

C. Follow-up procedures

1. Report investigative findings and follow-up, to both complainant and respondent
2. Adhere to procedures for failure and cooperate with the investigation
3. Clearly state appeal procedures
4. Maintain records for appropriate time-periods