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ABSTRACT

Guidelines for the complete Commerce Supervisory Course are presented. The four unit headings in this guide are: Introductory to Supervision, Personnel Management for Supervisors, Individual and Group Performance, and Supervisory Operational Activities. (NF)

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# DISCUSSION GUIDE

GUIDELINES, OBJECTIVES, COMPONENTS,  
SESSION OUTLINES NO. I



# COMMERCE SUPERVISORY COURSE



OFFICE  
OF THE  
SECRETARY  
OFFICE OF  
PERSONNEL

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## ABOUT THE DISCUSSION GUIDES

The study of supervisory processes and practices has been going on for many, many years, and practical knowledge of experience based supervisory activities continues to increase. These discussion guides provide ideas, concepts, and approaches to the supervisory function that capture the experience of successful supervisors in the Federal Government.

These guides, covering the major processes of the Government supervisor, are in response to the need for basic supervisory training materials that can be used in the instruction and training of supervisors throughout the U.S. Department of Commerce.

Each discussion guide may be used separately or in concert with other guides. Latitude is provided in the design to tailor the subject matter to the needs of the respective bureaus of the U.S. Department of Commerce.

These guides were developed by a Task Force composed of representatives of the various Bureaus of the U.S. Department of Commerce and the Office of the Secretary. Their background and experience reflects a variety of professional and technical specialties within the Department.

### COMMERCE TASK FORCE ON SUPERVISORY TRAINING

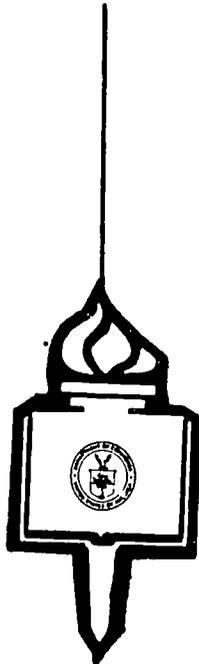
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The Commerce Supervisory Course General Guidelines, Objectives, Components, and Session Outlines was planned and developed by Miller McDonald, Office of the Secretary.

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U. S. Department of Commerce

COMMERCE  
SUPERVISORY  
COURSE

- 
- GUIDELINES
  - OBJECTIVES
  - COMPONENTS
  - SESSION OUTLINES
- 

Office of Personnel  
Office of the Secretary

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COMMERCE  
SUPERVISORY TRAINING COURSE

Guidelines

The Office of the secretary, through the Commerce Task Force on Supervisory Training, has developed the leader's guides and other training materials for the complete Commerce Supervisory Course. It has also piloted a few programs to work out the continuity and rough spots and will conduct supervisory training when two or more bureaus have need for a combined activity. The following guidelines are provided:

1. Each newly appointed supervisor will be given Basic Supervisory Training.
2. To the extent feasible, employees should be enrolled in this training as soon as they are appointed to supervisory positions. In any event, 40 hours of supervisory training must be completed within 6 months before or after assuming the position.
3. Each supervisor should be given instruction in supervisory subjects commensurate with his background, experience, and position requirements. The minimum amount of instruction required is 80 hours. The remaining 40 hours of training must be within 2 years after assuming the supervisory position.
4. Whenever favorable conditions prevail, participants should be given this instruction in homogeneous groups wherein grade levels and the nature of supervisory responsibilities are reasonably similar.
5. If all sessions of the course are not considered essential to meet local needs, each bureau conducting this training should select the sessions deemed necessary to provide its supervisors the desired training. On the other hand, other subjects may be added as requirements indicate. It is also recognized that some of the sessions are of such nature that officials may determine that they should be repeated at certain intervals.
6. Generally, each of the session outlines is presented in sufficient detail to allow for two hours of class discussion. However, if local conditions require, bureaus may elect to spend more or less time on certain subjects to cover their needs. In this regard, two related sessions

may be combined for a two-hour discussion period when bureaus feel that this amount of time is appropriate for the coverage needed.

7. Pending the Departmental development of course materials, it will be the responsibility of bureaus to develop necessary course materials from the attached outlines for the sessions they plan to conduct.
8. The course may be taught on a minimum schedule of 1 or 2 two-hour sessions per week, or, if deemed to better meet local conditions, on a full-time basis until completed.
9. Instructors in the various sessions should normally be the best qualified employees to discuss the subject matter involved; this includes senior local officials, especially when key topics or policy matters are to be covered. Outside instructors are to be used only when they will provide a distinct advantage to the course offering that could not otherwise be obtained.
10. Employees regularly assigned instructor duties should have completed an instructor training course. Those who instruct for only brief periods or on an irregular basis may be given coaching appropriate to their responsibilities.
11. Instructional techniques used should be varied, but should generally seek to accomplish maximum participant involvement.
12. The emphasis of the course is to be as Commerce-oriented as possible. Bureaus are responsible for keeping the subject matter up-to-date when changes occur through developments such as new procedures, and revisions to Commerce Department Orders.
13. This material may be used as the basis for pre-supervisory training if bureaus desire to offer such instruction.
14. Local offices of bureaus are responsible for developing desired on-the-job or follow-up training to be given in association with this course.
15. Provisions are to be made by bureaus for the evaluation of each offering of the course to ensure that instruction is effective and that the needs of supervisors are being met.
16. In addition to receiving a Training Certificate, successful participants in the course should have an entry made in appropriate personnel records.

COMMERCE  
SUPERVISORY TRAINING COURSE

Objectives

To develop among supervisors in the Department of Commerce a fundamental appreciation and understanding of:

- . Modern concepts of supervision
- . The nature of the supervisor's job
- . The supervisor's role and activities in the building of groups
- . The Commerce Department and bureau organization and organizational relationships throughout the Department
- . The requirements of personnel management in the Federal Service
- . Supervisory work management activities and responsibilities
- . The importance of the development of a program of self-development as a supervisor

COMMERCE  
SUPERVISORY TRAINING COURSE

Components

UNIT I INTRODUCTION TO SUPERVISION

Block 1 Modern Concepts of Supervision

- Session 1 Moving up to a Supervisor
- Session 2 Changing Nature of the Work Force
- Session 3 Theories of Supervision

Block 2 The Nature of the Supervisors Job

- Session 4 Analyzing Duties and Responsibilities
- Session 5 The Leadership Role

Block 3 The Commerce Department and Bureau Organization  
the Organizational Relationships Throughout  
the Department

- Session 6 Mission of Commerce, its Bureaus, Agencies  
and Offices
- Session 7 Organizational Structure of the Department  
and the Tasks to be Performed

UNIT II PERSONNEL MANAGEMENT FOR SUPERVISORS

Block 4 Recruiting Employees for Work

- Session 8 Setting up or Changing a Job
- Session 9 Filling a Job
- Session 10 Merit Promotion Program
- Session 11 Equal Employment Opportunity

Block 5 Preparing Employees for Work

- Session 12 Orienting the Employee to the Job
- Session 13 Identifying Training Needs
- Session 14 Training and Developing Employees

Block 6 Helping Employees to Become more Effective

- Session 15 Reviewing Work Accomplishments of Employees
- Session 16 Employee Incentive Awards Program
- Session 17 Conditions of Employment
- Session 18 Disciplinary and Other Adverse Actions

- Session 19 Methods for Handling Grievances and Other  
Employee Dissatisfactions
- Session 20 The Safety Program
- Session 21 Labor and Management Relations

### UNIT III INDIVIDUAL AND GROUP PERFORMANCE

#### Block 7 Individual Performance

- Session 22 Elements of Human Relations
- Session 23 Understanding Employees as Individuals
- Session 24 Overcoming Resistance to Change

#### Block 8 Group Performance

- Session 25 Building Good Work Relationships
- Session 26 Understanding Employees as Members of Groups
- Session 27 Communication and the Supervisor
- Session 28 Conference Leadership

### UNIT IV SUPERVISORY OPERATIONAL ACTIVITIES

#### Block 9 Work Management

- Session 29 Supervisory Planning
- Session 30 Scheduling, Assigning and Controlling Work
- Session 31 Improving Work Methods

#### Block 10 Supervisory Self-Development Activities

- Session 32 Preparation of Self-development Plan
- Session 33 Review, Evaluation of Course and Presentation  
of Certificates

## UNIT I INTRODUCTION TO SUPERVISION

### Block 1 Modern Concepts of Supervision

#### Session 1

#### Moving Up to a Supervisor

OBJECTIVE: To emphasize the role change which the new supervisor experiences and to increase his awareness of the new relationships, challenges and demands inherent in his new position.

- A. Reasons for promotion to a supervisory position.
  - 1. Seniority
  - 2. Outstanding job performance
  - 3. Pleasing personality
  - 4. Discrimination
  
- B. Major additional skills needed at the supervisory level.
  - 1. Human relations
  - 2. Planning
  - 3. Decision making
  - 4. Division and assignment of work
  
- C. How might an employee feel when a fellow worker is promoted above him?
  
- D. Reasons for choosing an "outsider" to fill a vacancy.
  - 1. Best qualified
  - 2. To change "managerial climate"
  
- E. Potential employee feelings toward an "outside" supervisor.
  - 1. Relief
  - 2. Curiosity
  - 3. Apprehension
  - 4. Suspicion
  - 5. Resentment
  - 6. Hostility
  
- F. Potential employee questions concerning a new supervisor.
  - 1. How will this affect me?
  - 2. Will he be fair?
  - 3. How will he treat me?
  - 4. Will he be concerned with my welfare?
  - 5. How will he evaluate performance?
  - 6. Will old norms and standards continue?
  
- G. Questions and uncertainties that plague new first line supervisors.
  - 1. Will I like supervising others?
  - 2. Do I have what is needed?
  - 3. What authority do I have?

4. How can I gain respect and cooperation?
  5. What help do I have available?
- H. What is meant by the statement - "the supervisor is the man in the middle?"
- I. The supervisor is subject to the expectations of four main groups.
1. Management
  2. Employees
  3. Peers
  4. Staff
- J. Possible conflicts between the expectations of these four groups.
- K. Basic differences between the functions of the first line supervisor and his employees.
- L. The "change-over" from Worker/Subordinate to Supervisor.
1. Understanding the difference between working and supervising
  2. Cultivating the supervisory outlook and approach
  3. Getting the feeling of a supervisor's responsibilities

### Session 2

#### Changing Nature of the Work Force

OBJECTIVE: To create an awareness of the Commerce Work Force and the changing patterns that affect the supervisor in accomplishing his tasks.

- A. Analysis of the Commerce Work Force
- B. Comparisons of U.S. and World Work Force
- C. Patterns of Work Force for the Future
- D. Impact on the Supervisor

### Session 3

#### Theories of Supervision

OBJECTIVE: To develop an appreciation of the importance of relationships between the supervisor and his subordinate and the various theories that may be employed in this relationship.

- A. Scientific Management
- B. General Principles
- C. Behavioral Science Influences

Block 2 The Nature of the Supervisor's Job

Session 4

Analyzing Duties and Responsibilities

OBJECTIVE: To develop an appreciation of the supervisor's job and his responsibilities to management, to his employees, and to himself.

- A. The supervisor's role and place in the organization.
  1. The supervisor's job is different.
  2. He no longer is primarily a technician.
  3. He has increased responsibility.
  4. He exercises authority.
  5. He gets work done through others.
  6. He is now a part of the management staff.
  
- B. What the supervisor should know about his organization.
  1. The mission of the Department of Commerce, the bureaus and the role of the office in which he works.
  2. The functions and responsibilities of his group.
  3. The way in which his group contributes to the mission of his bureau and the Department.
  4. The way in which each of his employee's jobs fits into the overall picture.
  
- C. The supervisor's responsibilities to management.
  1. Develop an understanding of his organization
  2. Carry out policies of management.
  3. Receive, analyze, plan, and assign work.
  4. Determine the number and types of workers needed in his group.
  5. See that required work is done.
  6. Maintain work balance within his group.
  7. Check quality of work done.
  8. Check quantity of work done.
  9. Check to see that work is done on schedule.
  10. Develop necessary performance standards.
  11. Keep necessary records.
  12. Keep himself informed on what is expected of him and his group.
  13. Prepare necessary reports.
  14. Strive for economy, prevent waste.
  15. Recommend job improvements.
  16. Maintain good morale and relations within his group.
  17. Maintain good reputation inside the office and out.
  18. Remain flexible and adaptable to changing work conditions and requirements.
  19. Serve as communications link to employees.

D. The supervisor's responsibilities to employees.

1. Serve as communications link with top management.
2. Keep them informed.
3. Issue clear, definite, and equitable assignments; let them know what is expected.
4. Show each employee how his job fits into the over-all picture.
5. Assign tasks so employees can best use their skills and abilities.
6. Evaluate employee performance.
7. Train and counsel employees.
8. Recognize exceptional work performance.
9. Maintain good working conditions - space, equipment, and materials.
10. Maintain good morale and relations within the group.
11. Provide inspiration and motivation through good example.
12. Maintain adequate knowledge of Commerce Department and bureau regulations, objectives, policies, and standards.
13. Provide for safety, health, and welfare of employees.
14. Criticize in private.

E. The supervisor's responsibilities to other units.

1. Share know-how developed to get the job done better or faster.
2. Cooperate in other work related matters as appropriate.

F. The supervisor's responsibilities to himself.

1. Utilize new and improved work techniques learned to get work done better or faster.
2. Keep abreast of important organizational developments.
3. Take full advantage of training and developmental opportunities made available to him.

G. Supervisors and the decision-making process - how to make decisions.

1. Define the problems as precisely as you can.
2. Explore all possible solutions.
3. Evaluate and compare each solution.
4. Select the best parts of each and integrate them.
5. Implement the decision
6. Follow-up, evaluate, and refine the decision.

REFERENCES:

1. The Supervision of Personnel - Pfiffner
2. Training the Supervisor - USCSC Personnel Methods Series No. 4

3. Responsibilities of a Working Leader - Air Force  
Pub. 40-10-1.
4. The Role of the Supervisor - Army Civilian Personnel  
Pamphlet 41-B-1.

### Session 5

#### The Leadership Role

OBJECTIVE: To develop an appreciation of the need for good leadership in supervisory work and what the qualities of leadership are.

A. Why good leadership is needed.

1. To ensure that the organization's work is performed effectively, efficiently, and on a timely basis.
2. To ensure continued high employee morale.
3. To ensure that the organization's problems are anticipated and preparations made to cope with them.

B. Definitions of leadership or a leader.

1. Leadership is the exercise of authority and the making of decisions.
2. Leadership is the initiation of acts which result in a consistent pattern of group interaction directed toward the solution of a mutual problem.
3. Leadership is an ability to persuade or direct men without use of the prestige or power of formal office or external circumstance.
4. Leadership is the process of influencing group activities toward goal setting and goal achievement.
5. A leader is one who succeeds in getting others to follow him.
6. A leader is the person who creates the most effective change in group performance.
7. A leader is that person identified and accepted as such by his followers.

C. Four types of leadership.

1. Authoritative
  - (a) Supervisor assumes full responsibility for all action.
  - (b) Seeks obedience from group in following his orders.
  - (c) Considers decision making a one-man operation - he being the man.
2. Consultative
  - (a) Supervisor draws ideas and suggestions from his group by discussion, etc.
  - (b) Staff is encouraged to take part in making decisions on policy, goals, etc.

3. Participative
  - (a) Supervisor plays down his role in group's activities.
  - (b) Mainly provides materials and information, with a minimum of control.

(While a discussion of pertinent factors and situations will generally lead a group to the conclusion that consultative leadership is the most desirable, it usually becomes apparent that it is not exclusively so.)
4. Persuasive
  - (a) Supervisor knows course he desires to pursue and sells his employees on this course.
  - (b) Tends to manipulate employees to attain his desired objectives.

D. Qualities of leadership.

1. Personal
  - (a) Fairness
  - (b) Loyalty
  - (c) Integrity
  - (d) Initiative
  - (e) Resourcefulness
  - (f) Determination
  - (g) Positive attitude
  - (h) Decisiveness
  - (i) Even temperament
  - (j) Interest in and liking for people.
  - (k) Patience
  - (l) Ability to instruct.
  - (m) Courtesy and tact
  - (n) Forcefulness
  - (o) Willpower
  - (p) Enthusiasm
  - (q) Self-confidence
  - (r) Responsibility
  - (s) Courage

(Extremes in personality traits are usually not associated with leadership.)
2. Mental
  - (a) Intelligence
  - (b) Judgment
3. Physical
  - (a) Health
  - (b) Vitality
4. Work related
  - (a) See the goal
  - (b) Know the job
  - (c) Plan work
  - (d) Delegate duties
  - (e) Make decisions
  - (f) Take action
  - (g) Train workers

E. Improving Leadership

1. Consciously work on weak points.
2. Observe and emulate successful supervisors.
3. Periodically review materials on leadership.
4. Practice self-discipline.

F. Actions and practices which indicate poor leadership traits.

1. Failure to set proper personal example.
2. Telephone abuses.
3. Extended lunch periods - excessive coffee breaks.
4. Personal business during working hours.
5. Position descriptions based on expediency.
6. Sick leave abuses.
7. Loafing on the job - failure to give a day's work for a day's pay.
8. Use of radios and TVs during working hours for world series, all-star games, conventions, etc.
9. Arrive late - leave early practices.
10. Misappropriation of government property.
11. Fraudulent travel and per diem claims.
12. Failure to spend each budget dollar effectively.
13. Overtime work abuses.
14. Administrative leave abuses.
15. Abuses of proper selection practices in employment procedures.
16. Improper detail procedures.
17. Questionable employee-management relations practices in the work situation.
18. Unfair disciplinary and grievance practices.
19. Failure to observe safety regulations.
20. "Do as I say, not as I do" philosophy.
21. Gambling
22. Failure to give due recognition.
23. Taking unwarranted credit.
24. Failure to recognize or accept employee's abilities and ideas.
25. Being overpaternalistic.
26. Oversupervising.

REFERENCES:

1. Leadership and Supervision - U.S. Civil Service Commission, Personnel Management Series No. 9.
2. Air Force Leadership - AFM 35-15.
3. A Moral Philosophy for Management - Selekman and Benjamin
4. Practice of Management (pp 158-160) - Drucker
5. Personal Values and Administrative Leadership (case studies)- DCPD Navy Department.

Block 3 The Commerce Organization and Organizational Relationships  
Throughout the Department

Session 6

Mission of Commerce, its Bureaus, Agencies, and Offices

OBJECTIVE: To develop an understanding of the mission of the Department, its organizational structure, and the major tasks performed by it.

- A. Mission of Commerce
  - 1. Departmental Headquarters
  - 2. Field
- B. Major tasks performed by Commerce
- C. Mission of bureau of supervisor
  - 1. Departmental
  - 2. Field
- D. Major Tasks of Bureau

REFERENCES: Commerce Department Orders - Bureau Orders and Instructions

Session 7

Organizational Structure and Relationships of the  
Department, its Bureaus, Agencies and Offices

OBJECTIVE: To develop an appreciation and understanding of the relationships that Commerce and bureau offices and officials have both within and outside the government.

- A. Commerce Department Organizational Structure
  - 1. Departmental
  - 2. Field
- B. Bureau Organizational Structure
  - 1. Departmental
  - 2. Field
- C. Line officials and their responsibilities.
- D. Staff officials and their responsibilities.
- E. Advisory officials and their responsibilities.

REFERENCES: Current Commerce Department Organizational Chart.  
(Department Order 831)  
Current Bureau Organizational Chart.  
(Administrative Order 202-250)

## UNIT II PERSONNEL MANAGEMENT FOR SUPERVISORS

### Block 4 Recruiting Employees for Work

#### Session 8

#### Setting Up or Changing a Job

OBJECTIVE: To develop an appreciation of the supervisor's responsibility to determine when new positions should be established or existing positions modified and how these may be accomplished.

#### A. Identifying the job.

1. Causes.
  - (a) Increased work load.
  - (b) Change in nature of work.
2. Does it appear temporary or permanent

#### B. Defining job requirements.

1. Review the duties of the job.
2. Make use of your own job experience in similar work.
3. Consult other personnel with similar experience.
4. Be specific in determining requirements as to certain skills, knowledges, education, experience, special attitudes or personal characteristics, or physical demands.

#### C. Establishing the job - position classification.

1. Background.
  - (a) Legal basis for establishing jobs - Chapter 51, title 5, U. S. Code.
  - (b) Advantages of a good classification system.
    - (1) It gives meaning to the policy of equal pay for equal work - the primary objective of the classification system.
    - (2) Promotes orderly arrangement of work assignments.
    - (3) Accurate position descriptions are basic to proper employee selection.
    - (4) Better utilization of employee capabilities.
    - (5) Provides guidelines for performance appraisals.
    - (6) Helps identify training needs.
    - (7) Promotes understanding between and among the supervisor and employees.
  - (c) Act requires CSC to publish standards for placing jobs in proper classes and grades.

- (d) Supervisors are responsible for:
  - (1) Determining the duties and responsibilities of positions under their supervision.
  - (2) Seeing that such positions are accurately described and initiating classification action, if necessary, because of a significant change in an existing position or the creation of a new position.
  - (3) Becoming familiar with the general principles and procedures of position classification, explaining them to the employees they supervise, and seeing that employees have copies of their position descriptions.

2. Describe the job:

- (a) What the employee will have to do.
  - (1) Brief description of usual duties.
  - (2) Brief description of occasional duties.
  - (3) Frequency with which each occurs.
- (b) What makes the work difficult or responsible.
  - (1) Necessity to deal with others.
  - (2) Requirement to make decisions.
  - (3) Need to devise new work methods.
  - (4) Importance and effects of the work.
- (c) What help the employee will have available.
  - (1) Closeness and frequency of your supervision and guidance.
  - (2) Manuals, procedures, and other written guides available.

3. Request position authorization.

- (a) Prepare Standard Form 52, asking for establishment of position and selection of an employee to fill it. (Classification and employment functions of Personnel).
- (b) Check with personnel office to be sure request is complete so that action will not be delayed.

D. Changing a job.

1. Reasons for change.

- (a) Workload variations.
- (b) New or modified work methods.
- (c) Reorganizations.
- (d) Personnel turnover.
- (e) Labor market shifts.

2. Analyze need for change.

- (a) Review total commitments.
- (b) Review present job description.
- (c) Note differences in a. and b.
- (d) Prepare new job description.
- (e) Try proposed changes.

3. Making the change.
  - (a) Have job reclassified in necessary series.
  - (b) Train incumbent in new duties if he is to remain in job.
  - (c) Recruit new employee if personnel change is to be made.
  - (d) Train new employee.
- E. Supervisors should know requirements of all positions supervised and understand the classification standards for these positions.
- F. Supervisors should understand the necessity for accuracy and currency in descriptions not only because they are in effect, vouchers for pay, but also because of their relationship to promotion consideration, training, reduction-in-force, recruitment, the effective and efficient utilization of manpower, etc.
- G. Supervisors should understand Position Description Appeals, employee rights regarding such appeals and the procedure to be followed in filing appeals.
- H. Supervisors should understand the objectives of annual position description reviews, which are to:
  1. Ensure that there exists a current, adequate, and accurate position description for each employee.
  2. Maintain the consistency of position classifications with appropriate standards.
  3. Eliminate unnecessary positions.
  4. Identify problem areas or positions requiring classification action.
  5. Assist in the identification of general management problems, such as manpower utilization, organization, morale, etc.
  6. Achieve better understanding by supervisors and employees of the principles, uses, and objectives of position classification.
  7. Integrate the position classification program with other personnel, training, and budget functions.
- I. Development of implementation procedures for annual position description reviews is the responsibility of Personnel Officers of the bureaus concerned.
- J. Each supervisor is responsible for reviewing annually all positions under his direct supervision to identify any unnecessary positions or positions which appear to require classification action, and for initiating appropriate action.

REFERENCES:

1. The Government Personnel System - USCSC Personnel Management Series No. 4.
2. Army Civilian Personnel Pamphlet No. 41-B-65 - Establishing a Job.
3. Army Civilian Personnel Pamphlet No. 41-B-65 - Restudying a Job.
4. Federal Personnel Manual Chapter 511.
5. Administrative Order 202-511.
6. Administrative Order 202-516.
7. Administrative Order 201-37.

Session 9

Filling a Job

OBJECTIVE: To develop an awareness among supervisors of how jobs are filled and the provisions, methods, and procedures that apply.

- A. Methods and means of recruiting and placing employees in a competitive job.
  1. Career-conditional appointments.
  2. Temporary appointments.
  3. Transfers.
  4. Reassignments.
  5. Promotion and promotion programs.
  6. Reinstatements.
  7. Role of Department Office of Personnel and National recruiting programs.
  8. Role of bureau Personnel Office.
- B. Types of appointments in the Federal Service (competitive).
  1. Temporary.
  2. Career-conditional.
  3. Career.
- C. Excepted appointments.
  1. Schedule A, B, and C.
- D. Selecting the best employee for the job.
  1. Review candidates educational background as well as work and work-related experience.
  2. Interview candidate.
  3. Check candidate's references.
  4. Consider candidate's special qualifications.
  5. Compare candidate's attributes with position requirements.
- E. Executive Assignment System
  1. Brief explanation of

F. General provisions concerning appointments.

1. Policy for making appointments.
2. Appointment requirements and restrictions.
  - (a) Effective date of appointments.
  - (b) Citizenship.
  - (c) Age limits.
  - (d) Members of family requirements.
  - (e) Physical fitness.
  - (f) Pay rate determinations.
  - (g) Veterans' preference considerations.
  - (h) Dual compensation and dual employment restrictions.
  - (i) Attempting to secure withdrawal from competition.
  - (j) Probationary or trial periods.
  - (k) Character and security investigations.
3. Preemployment suitability checks.
  - (a) Policy.
  - (b) Responsibility.
  - (c) Procedure.
  - (d) Action on preemployment inquiries.
  - (e) Disposition of preemployment inquiries.

REFERENCES:

1. The Government Personnel System - USCSC Personnel Management Series No. 4.
2. Administrative Order 202-300 through 332 (to be issued)
3. Administrative Order 207-4 (Investigations)
4. Administrative Order 202-305 (Executive Assignment System)

Session 10

Merit Promotion Program

OBJECTIVES: To develop an understanding of the Federal Merit Promotion Policy and to assist supervisors in identifying their role and responsibilities in the merit promotion program.

- A. The Merit Principle and the Federal Merit Promotion Policy.
- B. Department of Commerce Merit Promotion Policy and Guidelines.
- C. Applicability of competitive promotion procedures to filling positions.
  1. The various ways to fill positions.
  2. Competitive versus excepted service.
  3. Career promotions.
  4. Exceptions to competitive promotion procedures
- D. The Bureau (or unit) Promotion Plan(s)
  1. Content and coverage.
  2. Area of consideration concepts
    - a. Specific patterns
    - b. Extending areas of consideration
  3. Methods of Locating Candidates
  4. Evaluating and Ranking Candidates

- a. Qualifications standards.
  - b. Evaluation methods.
  - c. Basic eligibility requirements.
  - d. Supervisory appraisals.
  - e. Ranking and certifying procedures.
5. Selections for promotion.
- E. Publicizing the Program
- F. Evaluating the Program
- 1. Quality of Candidates
  - 2. Quality of Selections
  - 3. Policy and Procedured Compliance Reviews
- G. Employee Complaints.

REFERENCES:

FPM Chapter 335 - Commerce Administrative Order 202-335 -  
Bureau or unit Merit Promotion Plan(s).

Session 11

Equal Employment Opportunity

OBJECTIVE: To develop an understanding of the Equal Employment Opportunity Program and to assist supervisors in identifying their role and responsibilities in the program.

A. Policy.

- 1. The President, in Executive Orders No. 11246 and 11375 reaffirms the policy expressed in Executive Orders 10590 and 10925, which is that equal opportunity be afforded all qualified persons, consistent with law, for employment in the Federal Government; and that this excludes and prohibits discrimination against any employee or applicant for employment in the Federal Government because of race, color, creed, sex, or national origin. It is mandatory that all officials and employees of the Commerce Department adhere to this policy in a fair, objective and uniform manner.

B. Objectives of Commerce Department Equal Employment Opportunity Program.

- 1. To assure that all qualified persons are considered for and given equal opportunity for appointment to all levels of positions within the Department.
- 2. To assure that equal consideration is given to all employees in all promotion and reassignment actions.
- 3. To assure that equal training opportunities are made available to all employees.
- 4. To assure fairness in the processing and disposition of all complaints and in making recommendations to appropriate administrative officials for corrective measures.

5. To assure that all relations and dealings with applicants and employees are in conformity with the policy of the Federal Government.

C. Procedures for handling complaints.

1. Cooperation between supervisors and employees.
2. Role of Special Assistant for Equal Opportunity.

D. Bureau Investigation and Disposition of Complaints.

E. Hearings on Bureau findings of non-discrimination.

F. Review of Bureau Final Decisions.

G. The Supervisor and his responsibilities to Equal Employment Opportunity.

H. The value of Equal Employment Opportunity to supervisors.

REFERENCES:

1. Executive Orders 11246 and 11375.
2. PPM Chapter 713.
3. Army Civilian Personnel Pamphlet 41-B-14  
Equal Employment Opportunity.
4. Department Order 134-9
5. Department Administrative Order 202-713.

Block 5 Preparing Employees for Work

Session 12

Orienting the New Employee to the Job

OBJECTIVE: To assure that employees become acquainted with and productive in their jobs in as short a time as possible.

A. Objective best accomplished by:

1. Expediting the employee's adjustment to his job and to his work environment.
2. Fostering job satisfaction, a sense of purpose, and pride in being a part of the Service.

B. Responsibilities.

1. Personnel officers are responsible for developing local orientation programs. Also, these officials are responsible for conducting those aspects of the orientation which relate to Federal employment in general.
2. Supervisors are responsible for orienting the new employee to the functional area to which assigned and to his position.

C. Orientation program content.

1. Phase I. Entrance interview.

- (a) The following matters will be briefly explained to the employee at the time he enters on duty by the personnel officer or his representative:

Salary and Paydays  
Pay Deductions  
Payroll Savings  
Group Life Insurance  
Health Insurance  
Conditions of Employment (E.G., W.A.E.,  
temporary employment, probation period).  
Employee Standards of Conduct  
Leave  
Reporting Injuries  
Relationship with Public  
Organizational Unit to which Assigned.

- (b) The employee will be given an orientation folder containing the items listed in D. below together with any local materials which may be considered appropriate.
- (c) If the employee is stationed at a subordinate office away from the headquarters office, this interview may be conducted by the Designated Representative for the subordinate office.
- (d) As a rule, these subjects should be discussed only in general terms at this time; they will be discussed in detail during the group orientation.

2. Phase II. Introduction to the Job.

- (a) This phase will be conducted by the supervisor at the work site. The supervisor will:
- (1) Introduce the employee to his fellow workers, to key supervisors within the function, and to personnel at the appropriate managerial and executive levels.
  - (2) Explain office practices, standards of conduct, building facilities, work hours, lunch periods, use of telephone, procedures for requesting leave, eating facilities, location of rest room, etc.
  - (3) Acquaint employee with work site through a tour of the work area.
  - (4) Explain the work and function of the organization.
  - (5) Advise employee of duties and performance requirements.
  - (6) Outline immediate classroom and on-the-job training requirements and arrangements

(including training agreements where appropriate) and advise the employee of training and developmental opportunities available as he advances.

- (b) This is the most important phase of the orientation process. At this time the supervisor has his best opportunity to stimulate the employee's interest in the work of the organization; to begin to establish an effective working relationship between himself and the employee; and to make clear to the employee what work is to be done, and how the supervisor wants it accomplished.

3. Phase III. Group Orientation.

- (a) Group orientation will be conducted jointly by the personnel officer and the training officer by means of classroom training sessions. The topics covered will include, as a minimum, the items listed in E. below.
- (b) The group training should be held no earlier than 30 days and no later than 90 days after the employee enters on duty.
- (c) The personnel office is responsible for scheduling new employees for the orientation sessions.
- (d) The length of the group orientation session is optional. However, the time allotted must be sufficient to insure that each employee has ample opportunity to grasp the subject matter and ask questions. Generally, no less than four hours should be devoted to this phase.

D. Minimum contents of Orientation Folder.

1. Information for Appointee, SF-61.
2. Your Retirement System, U.S. Civil Service Commission Pamphlet.
3. Certificate of Membership in Federal U.S. Retirement System, SF-105.
4. Federal Employee Health Benefits Program Pamphlet, SF-2809-A, together with brochures on available health insurance plans.
5. Group Life Insurance for Federal Civilian Employees.
6. Federal Employee Group Life Insurance Certificate, Form G-3385C.
7. When Injured at Work, CA-11.
8. U.S. Savings Bond Application and Literature.
9. Government Travel Regulations (for employees whose positions involve travel).
10. Your Social Security, O.A.S.I. No. 35.
11. Employee Handbook.

E. Group Orientation Topics.

1. The Commerce Department.
2. Civil Service Regulations.
  - (a) Equal Employment Policy.
  - (b) Types and Tenures of Appointment.
  - (c) Probationary Period.
  - (d) Employee Standards of Conduct and Outside Employment Regulations.
  - (e) Discipline.
  - (f) Character and Security Regulations.
  - (g) Character and Conduct Investigations.
  - (h) Salary, Deductions, Within-Grade Increases, Overtime vs. Compensatory Time, etc.
  - (i) Federal Employees Group Life Insurance.
  - (j) Federal Employees Health Benefits Program.
  - (k) Leave Regulations.
  - (l) Incentive Awards Program
  - (m) Position Classification.
  - (n) Promotion Program and Its Mechanics.
  - (o) Performance Appraisal.
  - (p) Retirement and Social Security Benefits.
  - (q) Job Protection.
  - (r) Grievance Procedures.
  - (s) Post Attack Registration.
3. Training.
  - (a) Government Employees Training Act — highlights of **Chapter 41**, title 5, U. S. Code.
  - (b) In-house training opportunities.
  - (c) For employees serving under training agreements:
    - (1) Purpose and provisions of their agreement.
    - (2) Requirements for satisfactory completion of the program.
    - (3) Unsatisfactory performance; dropping trainees from program.
    - (4) Supervision during the training.
4. Miscellaneous information.
  - (a) Your relationship with your supervisor.
  - (b) Your relationship with your Personnel Officer.
  - (c) Employee groups and organizations.
  - (d) Credit Union facilities.
  - (e) Payroll Savings Plan.
  - (f) Employee's Compensation Benefits.
  - (g) Health facilities and immunization programs.
  - (h) Unemployment Compensation.
  - (i) Safety.
  - (j) Severance Pay

## Session 13

### Identifying Training Needs

**OBJECTIVE:** To develop an appreciation of the supervisor's responsibility for determining the training needs of his employees and the techniques that might be used to make these determinations.

- A. Identification of training needs is primarily a responsibility of the line; it is the responsibility of training officers to assist in the identification.
- B. General indicators of training needs.
  - 1. Comments, suggestions or criticisms from superiors.
  - 2. General production analysis.
  - 3. Evidences of individual inadequacy.
  - 4. Employee questions.
  - 5. Issuance of new policies or procedures.
  - 6. Issuance of Changes in work criteria,
  - 7. Issuance of new work programs.
- C. Possible specific indicators of training needs (of a unit of employees).
  - 1. Production records.
  - 2. Production reports.
  - 3. Comparison of production with similar units.
  - 4. Work backlogs.
  - 5. Amount of overtime.
  - 6. Smoothness of work flow.
  - 7. Low unit morale.
  - 8. High absenteeism.
- D. Possible specific indicators of training needs (for individuals).
  - 1. Comparison of accomplishments to performance requirements of position.
  - 2. Comparison of accomplishments to performance of other employees.
  - 3. Observation of undesirable work habits or methods.
- E. Aids to pin-point training needs.
  - 1. Performance standards.
  - 2. Task analysis or job breakdown consisting of all main steps and key points that must be considered in performing assigned work.
- F. Points to consider in determining training needs.
  - 1. Supervisor must know clearly what he expects of employees.

2. Employees must know what is expected of them.
  3. Supervisors must know where and to what degree employees fail to meet requirements.
- G. Refining training needs for an employee.
1. Review his past work record and experiences.
  2. Discuss pertinent tasks to be performed.
  3. Have him describe how he would do the job.
  4. Observe or review work done for quality and quantity.
  5. Ask him what training would be helpful to him.
  6. Review results of job information tests if used. (Applies particularly to new employees).
- H. Employees should be counseled on how training will help them.
1. Employees should be counseled on how training will help them.
  2. If employees do not see a need for proposed instruction, they may fail to profit by it (no motivation) or they may even resent it.
  3. A good approach - "Here is a way to do a task easier, better, more quickly, and more safely."
- I. Remember that all production or relationship problems are not based on lack of training. All problems should be carefully analyzed to ensure if training is needed.

REFERENCES:

1. Assessing and Reporting Training Needs and Progress - USCSC Personnel Methods Series No. 3.
2. Management Course for the Air Force Working Leader - How to Identify Training Needs AFP 40-10-6.
3. Army Civilian Personnel Pamphlet No. 41-B-51 - Training Needs and How to Find Them.
4. Department Administrative Order 202-410.

Session 14

Training and Developing Employees

OBJECTIVE: To develop an appreciation of the role of training in maintaining an effective work force and the means and techniques by which necessary training can be accomplished.

- A. Training is accomplished under authority of Government Employees Training Act - Chapter 41 of title 5, U. S. Code
- B. Responsibilities for accomplishing training.
  1. Line - responsible for determining what content shall be, who should be trained, and, generally, when the training should take place.

2. Training officers - responsible for determining how training should be done for most effective accomplishment (i.e., what training methods and techniques should be used), and what format training materials should be placed in. Also responsible for developing and administering the training program and for coordinating individual courses and programs.

C. Why we train.

1. To develop necessary background in new employees.
2. To increase quality or quantity of production.
3. To retrain experienced employees.
4. To install new work methods, criteria, or standards.
5. To develop supervisors, managers, and executives.
6. To improve morale.
7. To reduce operative costs.

D. Three general approaches to training.

1. Informal - training done in everyday work situation through supervisor-subordinate relationship.
2. Formal - organized group (classroom or conference) training done under an instructor when a number of employees have the same needs to be met.
3. On-the-job performance of planned job tasks by one or a small number of employees under a coach or supervisor.

E. Four step method of employee training (generally applicable to classroom or OJT training).

1. Prepare the trainee.
  - (a) Put him at ease.
  - (b) Create interest in learning the job.
  - (c) Provide overview of what job is all about and how it fits in the Service.
2. Present the job - tell him exactly what you are going to do.
  - (a) Stress key points.
  - (b) Be clear, complete, and patient.
3. Show him how to do the job.
  - (a) Go through each step in logical order.
  - (b) Mention special points that make the job easier or faster.
4. Have him do the job and explain key points.
  - (a) Point out errors made.
  - (b) Ask questions to ensure understanding.

F. Planning training.

1. Course plan.
  - (a) Name of course.
  - (b) Objective of training.

- (c) Who is responsible for administering.
- (d) Where training will be held.
- (e) Who will be trained.
- (f) Name of instructors.
- (g) Schedule of classes.
- (h) Skeleton outline of material to be presented.
- (i) A plan for evaluating and reporting on the effectiveness of training.

2. Lesson plan.

- (a) Lesson title.
- (b) Objectives.
- (c) Instructional methods to be used.
- (d) Training aids to be used.
- (e) Introduction.
- (f) Detailed outline of material to be covered.
- (g) Summary.
- (h) Quiz.
- (i) Assignment - main text and references.

G. Use of non-Commerce training courses permitted by Government Employees Training Act.

- 1. Other government agencies.
- 2. Schools, colleges and universities.
- 3. Associations (such as American Management Association).
- 4. Must be approved by proper authority.

H. Supervisors and training.

- 1. Supervisors are responsible for the efficient and effective work performance of their employees.
- 2. Supervisors are responsible to train subordinates in their day-to-day work relationships.
- 3. Supervisors are responsible for obtaining training for their employees when it can be done more economically and effectively with assistance.
- 4. Supervisors should know of the training opportunities available since they are responsible for counseling and assisting subordinates in their development.

REFERENCES:

- 1. Chapter 41, Title 5, U.S. Code; Government Employees Training Act.
- 2. Federal Personnel Manual - Chapter 410.
- 3. Army Civilian Personnel Pamphlet No. 41-B-53 - Getting Ready to Train Employees.
- 4. Army Civilian Personnel Pamphlet No. 41-B-54 - Training Employees in Job Operations.
- 5. Management Course for the Air Force Working Leader - A Pattern for Instruction AFP 40-10-7.
- 6. Administrative Order 202-406.
- 7. Administrative Order 202-410.

TRAINING AIDS: Film

- 1. Patterns of Instruction.

Block 6 Helping Employees to Become More Effective

Session 15

Reviewing Work Accomplishments of Employees

OBJECTIVE: To develop an appreciation of the need for employee performance evaluation and an understanding of the responsibilities of supervisors in carrying out the program.

- A. Performance evaluation required by Performance Rating Act of '1950, (Chapter 43; title 5, U. S. Code)
- B. Purposes of employee appraisal are to develop:
  1. Mutual understanding between supervisor and each employee as to what is expected of the employee.
  2. More specific understanding by the supervisor of each employee's specific strengths and weaknesses.
  3. Better understanding by the supervisor of each employee's problems and attitudes in getting the job done.
  4. Current understanding by the employee of how well he meets the supervisor's expectations.
  5. Specific plans for improvement of performance, whenever such improvement is needed, desirable, and feasible.
  6. Recognition by supervisors, management officials, and personnel office of potential ability which might be used to better advantage, possibly in other parts of the organization.
  7. Plans for utilizing ability to better advantage and developing and using potential (where possible).
  8. Recognition by supervisors, management officials, and personnel office of employees who are unable or unwilling to perform satisfactorily in current assignments and collection of information on which to base reassignment, demotion, or separation.
  9. Recognition of those employees whose performance may be rated as "Satisfactory", but who have done such good work that they are deserving of special recognition through the granting of an award, giving them a letter of commendation, or planning special developmental work assignments to prepare them for promotion or reassignment to better jobs.
- C. All performance ratings are prepared by the immediate supervisor.
- D. Basic elements of the system.
  1. Determination and clarification of performance standards.
    - (a) Standards are developed on the major tasks in a job description.
    - (b) Should be agreed to by supervisor and employee.

2. Appraisal of performance.
  - (a) Implies continual observation, and discussion when indicated.
  - (b) Also implies formal discussion at least annually at which requirements, accomplishments, and plans for improvement and development are reviewed.
  - (c) Implies taking action as a result of discussions.
  - (d) Requires recording and processing annual official appraisals and objective ratings.
  
- E. Three basic elements used in rating employees - quality, quantity and manner of performance.
  
- F. Three kinds of adjective ratings.
  1. Satisfactory.
    - (a) When applicable.
  2. Outstanding.
    - (a) When applicable.
    - (b) Documentation and processing requirements.
  3. Unsatisfactory.
    - (a) When applicable.
    - (b) Documentation and processing requirements.
  
- G. Acceptable level of competence.
  
- H. Entrance ratings.
  
- I. Rating periods.
  1. When they begin.
  2. When they end.
  
- J. Postponement of regular periodic ratings.
  
- K. Probationary period appraisal.
  
- L. Certification of ratings.
  
- M. Appeal rights of employees who receive satisfactory or unsatisfactory ratings.
  
- N. Benefits of appraisals.
  1. Identifies the "soft" spots in our employees which may affect the accomplishment of our mission.
  2. Determines whether or not production for the group is satisfactory.
  3. Identifies employees --
    - (a) Whose performance is acceptable in their present jobs.

- (b) Who are able to do more responsible work.
  - (c) Who are not capable of doing their present jobs satisfactorily.
  - (d) Who need specific training.
  - (e) Whose performance warrants special recognition or an award for superior performance.
4. Identifies attitudes and determines what action may be needed to help employees change them.
  5. Keeps management informed of how each employee is doing in his job.
  6. Discovers through discussion with employees, weaknesses in our supervision and gets suggestions for improvement.
  7. It builds job enthusiasm by letting the employee know the purpose of the work and how he contributes to it.
  8. It encourages a more constructive attitude toward the job when the employee --
    - (a) Knows specifically how well the chief thinks he is doing in each aspect of his work.
    - (b) Recognizes where he excels or where he is failing.
    - (c) Sees how he can improve his performance.
    - (d) Understands that criticism applies to his work, not himself; give criticism in terms of operations and not in terms of the worker.

O. Possible actions following appraisal.

1. Provide training or retraining.
2. Reassign employee to another job.
3. Demote or separate employee.
4. Adjust performance standards.
5. Modify the job.
6. Give oral commendation.
7. Give written commendation.
8. Give award commendation.

P. Obstacles to sound appraisals.

1. Overshadowing effect of a good or poor piece of work.
2. Prejudices.
3. Partiality.
4. Softness.
5. Spinelessness.
6. Hurry.
7. Insufficient or incorrect information.
8. Use of incorrect requirements.

REFERENCES:

1. Chapters 430 and 752, Federal Personnel Manual.
2. Supplement 1990-1, Federal Personnel Manual.
3. Chapter 43, title 5, U. S. Code
4. Administrative Order 202-430.
5. Administrative Order 202-531.

6. Army Civilian Personnel Pamphlet 41-B-41 - Determining Performance Requirements.
7. Army Civilian Personnel Pamphlet 41-B-42 - Performance Appraisal.

### Session 16

#### Employee Incentive Awards Program

OBJECTIVE: To develop an appreciation of the employee incentive awards program and its purposes as well as an understanding of its implementation.

A. Specific purposes of the program.

1. To permit employees to participate in effecting improvements and economies in Federal Government.
2. To recognize superior work performance.
3. To recognize special acts of special services which have particular significance to the Government.
4. To recognize employees who have extended periods of Federal service.

B. Policy.

1. The Department of Commerce encourages all civilian officers and employees to participate in improving the efficiency and economy of Government operation.
2. In carrying out the policy, "motivation" and "innovation" will be stressed.
3. Management at all levels must fully utilize the program as a means of motivating employees to make full use of their skills and ideas. Employees and management personnel must innovate to find ways in which to perform the public business better, quicker, and more economically.

C. Contributions warranting recognition.

1. Suggestions which can be adopted.
2. Superior individual or group performance.
3. Special acts or services.
4. Noteworthy or distinctive service.
5. Long and faithful service.

D. Provisions applicable to all contributions.

1. Contributor's agreement.
2. Prompt action and communication on employee contributions.
3. Relationship to job responsibilities.
4. Documentation of action taken.
5. Limitations on Monetary Awards.

6. Availability of funds.
7. Personnel Records.
8. Promotion Policy and Employee Contributions.

E. Suggestions.

1. Criteria.
  - (a) Definition of a suggestion.
  - (b) Exclusions.
2. Submitting a suggestion.
3. Processing a suggestion.
  - (a) Acknowledgment.
  - (b) Evaluation.
  - (c) Approval.
  - (d) Disapproval.
4. Recognition.
  - (a) Basis for cash awards.
  - (b) Awards for tangible savings or benefits.
  - (c) Awards for intangible benefits.
  - (d) Exceptions to standard award scales.
5. Withdrawing suggestions.
6. Appeals.

F. Superior Individual or Group Performance.

1. Criteria.
  - (a) Eligible performance.
  - (b) Performance ineligible for payment.
2. Recognition.
  - (a) Basis for cash awards.
  - (b) Shared or group awards.

G. Special Acts or Services.

1. Criteria.
  - (a) Conditions of award.
2. Recognition.
  - (a) Basis for cash awards.
  - (b) Shared or group awards.
  - (c) Certificates or seals; recommendations for other awards.

H. Department of Commerce Medal Awards.

1. Gold Medal Award.
2. Silver Medal Award.
3. Bronze Medal Award.

I. Within-grade step increases for high-quality performance.

1. Basic guidelines.
2. Factors to consider.
3. Procedures for granting.
4. Relation to regular within-grade step increases.
5. Relationship to superior performance or special act or service awards.
6. Relationship to outstanding performance ratings.

J. Award presentations and publicity.

1. Principles.
2. Award ceremonies.

K. Program promotion.

1. Posters and other promotional material.
2. Program Supplements.

L. Forms and Reports.

1. Forms.
  - (a) Prescribed forms.
  - (b) Exceptions.
2. Reports.
  - (a) Semi-annual.
  - (b) Annual Narrative.
  - (c) Special.

REFERENCES:

1. Government Employee's Incentive Awards Act (Chapter 45, title 5, U.S.Code)
2. Federal Personnel Manual, Chapter 451.
3. Federal Personnel Manual Supplement 990-1, Part 451.
4. Administrative Order 202-451.

Session 17

Conditions of Employment

OBJECTIVE: To develop an appreciation of the conditions of employment in the Department and of the supervisor's role in dealing with these conditions that, in general, encompass employee rights, privileges, and obligations.

A. Pay administration.

1. Legal basis.
  - (a) Chapters 53 and 55, title 5, U.S. Code.
  - (b) Federal Employees Pay Regulations. (FPM Supp. 990-1, Parts 530,550.)
2. Salary determinations.
  - (a) New appointments.
  - (b) Reemployment, transfers, and position changes.
3. Salary retention.
  - (a) Salary Retention Act of 1953, as amended.
4. Periodic step increases.
  - (a) Eligibility requirements.
  - (b) Effective dates of step increases.
5. Premium pay.
  - (a) Purpose.
  - (b) Eligibility requirements.

B. Employee's Compensation for Injuries.

1. Legal basis.
  - (a) Federal Employee's Compensation Act of September 7, 1916, as amended. (Chapter 81, title 5, U.S. Code)
  - (b) Provides compensation for disability and death and medical care for employees of the U. S. who suffer injuries or contract a disease in the performance of their duties.
2. Policy.
  - (a) Employees will be informed of the benefits provided by law and will be given assistance in obtaining the full benefits to which they may be entitled. An employee who is eligible for compensation shall have the right of election to take any sick or annual leave which he may have to his credit before accepting disability benefits.
3. Authority and responsibility.
  - (a) Responsibility of Personnel Officers.
  - (b) Employees responsible to notify supervisors without delay of injuries sustained in performance of duty.
  - (c) If employee is physically unable to give such notice, it may be given by someone else in his behalf.
  - (d) If there are witnesses to the injury, their names and addresses should be obtained.
  - (e) Responsibility of administrative and supervisory officials.
    - (1) Insure that injured employees receive immediate medical attention.
    - (2) Inform employees of their rights to claim benefits under the law and to appeal the decisions of the Bureau of Employees' Compensation.

- (3) Provide the necessary forms and assist employees in the execution of claims.
  - (4) Report terminations of disability.
  - (5) Promptly forward claims and reports to the Personnel Office.
- 4. Medical treatment for injuries.
  - 5. Claims.
    - (a) Preparation and filing of claims.
    - (b) Time limitation for establishing claims.
  - 6. Appeals regarding claim decisions.
  - 7. Dual payments.
  - 8. Leave and waiting period.
  - 9. Disability retirement.

C. Leave administration.

- 1. Legal basis. (Chapt. 63,  
Title 5,  
U.S. Code)
  - (a) Annual and Sick Leave Act of 1951, as amended.
  - (b) Uniform Civil Service Leave Regulations.
- 2. Authority and responsibility.
  - (a) Authority for leave approval will be assigned to lowest practical supervisory levels.
  - (b) Responsibility of supervisors.
    - (1) Instructing their employees on leave matters.
    - (2) Guarding against abuses of leave benefits.
    - (3) Promptly discussing leave abuses with the employee concerned.
    - (4) Bringing to the attention of the proper administrative official any repeated abuses of leave regulations by their employees.
  - (c) Responsibility of Personnel Offices.
    - (1) Administering and interpreting leave policy and regulations.
    - (2) Providing a general orientation to employees and supervisors on the Leave Act.
    - (3) Providing the appropriate accounting office with leave service computation dates for the leave earning rates of all employees entitled to leave benefits.
    - (4) Keeping employees informed of any changes in leave policy and regulations.
  - (d) Responsibility of accounting division.
    - (1) Timekeeping and leave recording for employees paid through their office.
    - (2) Assigning employees to the appropriate leave earning category on the basis of their leave computation date as furnished by the servicing personnel office.
    - (3) Advising employees, through their unit time-keepers, of the rate at which they will earn annual leave and of any subsequent changes thereof.

- (4) Determining an employee's entitlement to lump-sum payment for accumulated annual leave upon transfer or separation from the Service.

3. Annual leave.

(a) Policy.

- (1) Policy to grant annual leave to employees at such times and in such amounts as local conditions permit.
- (2) Granting of leave must be determined administratively.
- (3) Employees will be encouraged to request 2 weeks of continuous annual leave each year for vacation purposes.
- (4) Short periods of annual leave will be granted for personal business.
- (5) Supervisors will establish leave schedules as early as possible each leave year, so all employees may have a reasonable vacation period and use their current annual leave earnings which would otherwise be forfeited.
- (6) Vacation schedules will be planned so as to avoid an excessive number of employees on leave at the same time.

(b) Earning annual leave.

- (1) Ninety-day qualifying period requirement.
- (2) Leave year - period from beginning of first complete pay period in the calendar year to the beginning of the first complete pay period in the following calendar year.
- (3) Annual leave categories (for full-time employees).
  - Temporary category "O". Employees who have not served continuously for 90 days since initial appointment or since last break in service are not eligible to earn leave.
  - Category I - Employees with less than 3 years creditable service earn 4 hours each pay period (13 days per leave year).
  - Category II - Employees with 3 but less than 15 years creditable service earn 6 hours each pay period and 10 hours for the last complete pay period in the calendar year (20 days per leave year).
  - Category III - Employees with 15 or more years of creditable service will earn 8 hours each pay period (26 days per leave year).

- (4) Maximum accumulation of annual leave which may be carried forward from leave year to leave year is 30 days for employees in continental U. S. (except for certain long-time employee with higher balance in 1951.)
- (c) Requesting annual leave - except in an emergency or other unusual conditions, approval of annual leave will be requested in advance.
- (d) Advanced annual leave.
  - (1) If permanent or indefinite employees show themselves dependable and deserving of special consideration, they may be granted "advanced" annual leave after serving the 90 day qualifying period.
  - (2) The advance may not exceed the amount of leave employee is expected to earn by end of the current leave year.
  - (3) Employees serving under temporary-limited appointments will not be granted advanced annual leave.
  - (4) Annual leave indebtedness resulting from failure to earn leave because of periods of non-pay status, may be carried forward for liquidation by leave earned in the following year.
  - (5) Employees may liquidate annual leave indebtedness by refund.
  - (6) Upon separation, an employee is required to make refund for any unliquidated advanced annual leave except in case of death or separation for (a) disability supported by an acceptable medical certificate, (b) disability retirement, or (c) active military service with restoration rights.
- (e) Charging annual leave.
  - (1) Minimum charge of annual leave is one hour and additional charges are in multiples of one hour.
  - (2) Annual leave absences may not accumulate from day to day for the purpose of charging units of hours (e.g., employee absent for  $1\frac{1}{2}$  hours at close of business one day and  $\frac{1}{2}$  hour at beginning of business the next day must be charged 2 hours on the first day and one hour on the second day).
- (f) Lump-sum leave payments and refunds.
- (g) Transfer of annual leave credits.

4. Sick leave.

- (a) Policy to grant sick leave.
  - (1) When it is established that an employee is incapacitated for the performance of duty because of sickness, injury, or pregnancy and confinement.

- (2) For medical, dental, or optical examination or treatment.
  - (3) When a member of the immediate family of the employee is afflicted with a contagious disease and requires the care and attendance of the employee, or when, through exposure to a contagious disease, the presence of the employee at his post of duty would jeopardize his fellow employees.
  - (4) When special treatment or a medical examination is required from a physician or recognized practitioner who is not available in the local area. Travel time for this purpose may be charged to sick leave, if in a reasonable amount. If the approving authority believes that the travel time is not reasonable, or that the period of sick leave requested for the treatment or examination is not reasonable, an appropriate portion of the absence may be changed to annual leave or leave without pay.
- (b) Earning sick leave.
- (1) Employees earn sick leave without regard to total creditable service or completion of qualifying period.
  - (2) Full-time employees earn and are credited with sick leave at rate of 4 hours for each full pay period of employment (13 days per leave year).
  - (3) Part-time employees earn and are credited with one hour for each 20 hours in pay status.
  - (4) Sick leave becomes available for use in the pay period earned.
- (c) Earned sick leave may be accumulated from pay period to pay period and from year to year without restriction.
- (d) Granting sick leave.
- (1) Approving sick leave.
    - It is incumbent upon supervisors to ascertain that absences justify approval.
    - Employees will be held strictly accountable for their statements in regard to requests for sick leave.
    - If for any reason, employee's statement or that of physician is not considered adequate, supervisor will take necessary steps to obtain additional evidence to justify approval or disapproval of sick leave.

(2) Reporting illness.

- An employee absent for illness shall notify his supervisor or other appropriate person as early as possible on the first day of absence.
- If circumstances do not permit notification on the first day, employee should give notification as soon thereafter as practicable.
- If employee fails to notify his supervisor as required, he may be considered as not entitled to sick leave.
- In such instances (as above), absence may be charged to annual leave or absence without leave, and when appropriate disciplinary action may be taken.

(3) Application and certification of sick leave.

- Use of Application for leave form.
- Medical certificate required in absence of more than 3 work days, or for 3 work days or less if use of sick leave appears to be abused.

(4) Sick leave causes.

- Medical, dental, or optical examination or treatment.
- Wearers of prosthetic appliances.
- Leave for disabled veterans.
- Claimant - VA pension of disability compensation.

5. Advanced sick leave.

- (a) In cases of serious disability or ailment, permanent or indefinite employees may be granted advanced sick leave.
- (b) Amount of annual leave to employee's credit has no bearing on whether an advance of sick leave should be approved.
- (c) All requests for more than 3 workdays must be supported by medical certificate signed by physician.
- (d) There must be reasonable indication employee will return to duty after illness.
- (e) Employee must have shown he is dependable, and deserving of such special treatment.
- (f) Advanced sick leave may never exceed 30 days at any time.
- (g) Unliquidated advanced sick leave is carried forward from pay period to pay period and from one leave year to another until liquidated by cash payments or subsequent earnings.

6. Maternity leave.

- (a) Total period of leave to be granted for maternity reasons will be established on the basis of a medical certificate from the attending physician.
- (b) Upon presentation of a medical certificate, employee will be granted sick leave credit consistent with the need therefore regardless of whether or not she contemplates returning to duty or is resigning.
- (c) Where additional leave is required, employee may be granted annual leave to her credit at expiration of sick leave balance. The grant of annual leave is entirely discretionary.
- (d) Employees who are expected to return to duty may be granted advanced sick leave (not advanced annual leave). Leave without pay may also be granted to the extent considered practicable. The initial authorization of sick leave, annual leave, and leave without pay may not exceed 6 months.
- (e) If employee requests an extension prior to expiration of 6 months of leave, and it is determined necessary as evidenced by medical certificate, the extension may be granted. However, the total grant of sick leave, annual leave, and leave without pay will not exceed one year.

7. Military leave.

- (a) Military leave is absence from a civilian position without charge to leave or loss of basic salary, in an amount not to exceed 15 days in any one calendar year, for those employees who are members of reserve components of the Armed Forces on days during which they are on active military duty.
- (b) P.L. 1028 - 84th Congress provides the basic statutory authority for granting military leave or absence with pay to employees who are members of the following components of the Armed Forces.
  - (1) National Guard of the U.S.
  - (2) The Army Reserve.
  - (3) The Naval Reserve.
  - (4) The Marine Corps Reserve.
  - (5) The Air National Guard of the U.S.
  - (6) The Air Force Reserve.
  - (7) The Coast Guard Reserve.
  - (8) National Guard of the District of Columbia.
- (c) Policy. It is the policy of the Commerce Department to extend full cooperation to all reserve components of the Armed Forces by granting leave of absence for active military duty as far as practicable.

- (d) Eligibility. Military leave may be granted only to employees who have permanent or indefinite appointments. Temporary and W.A.E. employees may be granted annual leave or leave without pay for active military duty.
  - (e) Requests for military leave.
    - (1) Employees will file with authorized approving official a notice of their intention to apply for active military duty, including a Standard Form 71, citing the specific dates, far enough in advance for the request to be acted upon.
    - (2) If immediately available, a true copy of military orders will be furnished the approving official before the employee enters on active military duty. Also, a certification by the responsible military officer as to the employee's attendance will be required from the employee upon his return from military leave.
  - (f) Absence on military leave is charged on a calendar day basis.
  - (g) Types of duty not covered by military leave.
  - (h) Salary restrictions.
    - (1) An employee who has exhausted the military leave to which he is entitled or who is ineligible for military leave because of the nature of his appointment may be granted annual leave for active military duty in the reserve components of the Armed Forces of the United States and the National Guard without regard to the dual compensation laws.
8. Absence without pay.
- (a) Leave without pay - a temporary non-pay status and absence from duty granted at the employee's request. Employee cannot demand that he be granted LWOP as a matter of right except in the case of disabled veterans when necessary for medical treatment.
  - (b) Absence without leave - absence from duty which has not been authorized or approved by the proper official. In such cases pay is denied for the entire period of absence. Where it is administratively determined that the absence is excusable, the charge to absence without pay may be changed to annual or sick leave or leave without pay. Unauthorized absences may be made a basis for disciplinary action.

9. Court leave.

- (a) Policy. It is the civic responsibility of all employees to respond to calls for jury and other court services. It is the policy of the Commerce Department not to request a court to excuse an employee from jury duty except in those instances where his services are required to meet work schedules and where public interests would be better served by the employee remaining on duty.
- (b) Employee eligibility. Only employees who are serving under appointments of permanent or indefinite tenure, and regularly scheduled part-time employees, are eligible for court leave. Temporary and intermittent employees are not entitled to such leave. However, they may be granted annual leave or leave without pay for this purpose.
- (c) Types of court leave.
  - (1) Court leave is granted for jury service in Federal, State, County, and municipal courts.
  - (2) Depending on circumstances, service as a witness may be classified as official duty, court leave, annual leave, or leave without pay.
- (d) Granting court leave.
  - (1) Approval of court leave.
  - (2) Return to duty during court leave period.
  - (3) Court service evidence to be submitted.
- (e) Court fees.
  - (1) "Fees" includes all compensation payable by a court to a witness or juror, whether in the form of per diem for attendance or per diem in lieu of subsistence expense.
  - (2) Witness fees - when they may be accepted and how they are disposed of.
  - (3) Jury fees - when they may be accepted and how they are disposed of.

10. Policies covering other types of absences.

- (a) Federal legal holidays.
- (b) State and local holidays.
- (c) Religious holidays.
- (d) Blood donations.
- (e) Absence for voting or registration.
- (f) Conventions or conferences.
- (g) Civil Service examinations.
- (h) Brief periods of absence and tardiness.
- (i) Draft registration.
- (j) Physical examinations for duty in the Armed Forces.

- (k) Medical examinations for Federal service.
- (l) Voluntary medical services programs.
- (m) Military funerals and funerals of military relatives.
- (n) Treatment for injury in performance of duty.
- (o) Attendance at hearings.
- (p) Emergency closing of offices.
- (q) Absence due to emergency situations.
- (r) Part-time services to Federal credit unions and employee associations.
- (s) Civil Air Patrol search missions.
- (t) Participation in Civil Defense activities.

D. Hours of duty.

1. Legal basis.
  - (a) Federal Employee's Pay Act of 1945 as amended (Chapter 61, title 5, U. S. Code)
  - (b) Basic regulatory provisions are contained in Federal Personnel Manual, Chapter 610.
2. Policies governing tours of duty.
  - (a) Normal tours of duty. Regular basic workweek throughout the Service will consist of five consecutive 8-hour workdays, Monday through Friday, in each administrative workweek.
  - (b) Changes from normal tours of duty. May be made by authorized official when he determines that the organization would be seriously handicapped in carrying out its functions or that the costs would be substantially increased by adherence to the regular basic workweek. Tours may include hours of duty on Saturday and Sunday or during one or more evenings a week, or both, and on fewer than five days but not more than six days of the administrative workweek.
  - (c) Deviations from the normal tour of duty will be held to a minimum.
  - (d) Travel within tour of duty.
    - (1) The tour of duty normally represents the hours which will be devoted to the performance of official tasks. The employee is expected under such circumstances to use his own time for travel between his established residence and the office.
    - (2) When official tasks are performed at other than a Government office the employee will, as a general rule, be expected to use his own time for travel prior to the beginning of the tour of duty and after the tour of duty to an

extent which is equivalent to the travel time required in (a) traveling between his established residence and the office from which he receives supervision, or (b) traveling between his established residence and his post of duty when it is not located at the office from which he receives supervision.

- (e) Scheduled rest periods are breaks in the daily tour of duty when employees are permitted to interrupt work for relief of fatigue. Officials authorized to fix and change tours of duty may prescribe rest periods. In general, employees eligible for scheduled rest periods will be those who are not free to vary their rate of work output; e.g., those engaged in "assembly line" types of clerical processes. Rest periods should not exceed 10 minutes in length and not more than two such periods will be considered part of work time without lengthening the tour of duty.
- (f) Overtime duty.
  - (1) Fundamental provisions of law.
  - (2) Ordering or approving overtime.
  - (3) Overtime limitations.
  - (4) General policy regarding overtime work.
  - (5) Irregular, unscheduled overtime duty.
  - (6) What constitutes overtime work.
  - (7) Overtime pay while in training.
- (g) Compensatory time.
  - (1) Compensatory time off in lieu of overtime pay may be granted only to employees paid on a per annum basis whose salaries are fixed by statute.
  - (2) Compensatory time off will be granted on the basis of one hour off duty for each overtime hour of work.
  - (3) Officials authorized to approve irregular overtime duty will be responsible for scheduling compensatory time off duty.
  - (4) Generally time off duty would be scheduled for such periods of time most suitable to the employee without detriment to the interests of the government.
  - (5) The maximum amount of accumulation of compensatory time normally should not exceed 80 hours.
  - (6) Compensatory time off should be scheduled as soon as possible after it is earned, but not later than 120 days from the date it was earned.

- (7) Under certain conditions, payment may be made for unused compensatory time.
- (8) The time and attendance record card is the official record for recording hours of overtime duty ordered or approved. The hours of overtime worked must be recorded on the time and attendance record card irrespective of whether it is to be compensated for by pay or time off.
- (9) Absence from duty during the basic workweek must be accounted for on the time and attendance record card, as annual or sick leave, official holiday, compensatory time off, or leave without pay.

E. Group life insurance.

1. Legal basis - Federal Employee's Group Life Insurance Act of 1954, as amended. (Chapter 87, title 5, U.S. Code)
  2. All employees are automatically covered by the FEGLI Act unless they are specifically excluded by that Act or have waived insurance coverage.
  3. Life insurance counseling provided new employees.
  4. Waiver of insurance coverage.
    - (a) New employees.
    - (b) Insured employees.
  5. Cancellation of insurance waiver.
  6. Termination of insurance.
  7. Conversion of insurance.
  8. Claims for insurance benefits.
  9. Retired employees - continuation of insurance coverage.
  10. Procedure for insurance continuance.
  11. Creditable service toward the period of service required for retention of life insurance during retirement.
  12. Optional Insurance eligibility.
- F. Federal Employees Health Benefits.

1. Legal basis - Federal Employee Health Benefits Act of 1959, as amended. (Chapter 89, title 5, U.S. Code)
2. Coverage - all employees, except those specifically excluded by the Act or the regulations, are eligible for coverage.
3. Types of plans available.
  - (a) Service-wide benefit plan.
  - (b) Indemnity benefit plan.
  - (c) Employee organization plans.
  - (d) Comprehensive medical plans.
4. Most plans offer two options - high and low.

5. Types of enrollment.
  - (a) Self only enrollment.
  - (b) Self and family enrollment.
6. Continuation of enrollment.
7. Termination of enrollment.
8. Opportunities to enroll or change enrollment.
9. Temporary extension of coverage.
10. Source of health benefits moneys.
11. Government contributions.
12. Employee contributions.

G. Payroll savings program.

1. Objective of Commerce - to maintain at least 90% employee participation in the program in all offices with a minimum expenditure for manhours and paper work. The ultimate program objective is 100% participation in all offices.
2. Bureau responsibility for promotion of the program.
3. Payroll Savings Awards.

REFERENCES:

1. Federal Personnel Manual, Chapters 530, 531, and 550.
2. Federal Personnel Manual, Chapter 610.
3. Federal Personnel Manual, Chapter 630.
4. Federal Personnel Manual, Chapter 810.
5. Federal Personnel Manual, Chapter 870.
6. Federal Personnel Manual, Chapter 890.
7. Administrative Orders 202-531, 554, 610, 630, 718, 810, 870, 890.

Session 18

Disciplinary and Other Adverse Actions.

OBJECTIVE: To develop the supervisors' appreciation and understanding of his role in the handling of disciplinary actions including employee rights in these matters.

A. The objectives of disciplinary actions are to:

1. Correct the attitude and conduct of an offending employee or work group.
2. Correct situations which interfere with efficient operations.
3. Maintain the high standards of the Service.
4. Maintain the public confidence in the Commerce Department.

B. Disciplinary actions must be fair, equitable and no more severe than that which judgment indicates is required to accomplish the the above objectives.

- C. The administration of disciplinary action must be consistent.
- D. Disciplinary actions, to be effective, must be timely.
- E. Management must thoroughly review and consider all evidence and data of record before making a final decision and attach due weight to factors supporting the employee's position whether or not he offers such factors in his own defense.
- F. General principles regarding disciplinary actions.
  - 1. Employees are expected to perform their work conscientiously in the most effective manner possible and to conduct themselves during and outside working hours in a manner which will not reflect discredit on the government.
  - 2. Primary emphasis will be placed on the prevention of situations requiring disciplinary actions through positive and effective employee-management relationships.
  - 3. A Standard Schedule of Offenses is in the Employee Handbook. Each case involving an offense should be considered and dealt with. Where a specific penalty is prescribed by statute, such penalty must be imposed.
  - 4. The laws, regulations, rules and requirements relating to standards of conduct will be made known by issuances to all employees.
- G. Responsibility of supervisors - one of their basic responsibilities is the maintenance of proper discipline within their work groups. Accordingly, supervisors will:
  - 1. Fully instruct employees on their duties and on performance requirements so that they will clearly understand what is expected of them.
  - 2. Know generally the laws, regulations and policies which control the conduct of employees.
  - 3. Inform employees of acceptable standards of conduct and by leadership and example, encourage employees to maintain good conduct and satisfactory performance.
  - 4. Give due recognition to commendable performance and exemplary conduct.
  - 5. Take all reasonable steps possible to prevent situations from reaching the stage where disciplinary action is required.
  - 6. For consultation and assistance, bring to the immediate attention of the servicing personnel office all cases requiring disciplinary consideration.
  - 7. Orally, and privately, admonish employees when such action is necessary.
- H. Supervisors are also responsible for bringing to the attention of higher authority alleged infractions of statutes or regulations or other types of misconduct which may warrant reprimand, demotion, suspension, or removal.

- I. Supervisors are also responsible for the documentation of offenses, administrative in nature, which do not require investigation to fully support the proposed disciplinary action.
- J. The function of personnel offices is advisory in all matters of discipline. Personnel officers should not make a determination concerning a disciplinary action except for employees under their direct supervision. Personnel officers are responsible for providing information, advice and assistance to employees and supervisors on disciplinary matters and assuring that proposed disciplinary actions are consistent with laws, regulations and requirements.
- K. Types of disciplinary penalties - when used and how administered.
  - 1. Oral admonishments.
  - 2. Official written reprimand.
  - 3. Demotions (and reductions in rank).
  - 4. Suspensions.
  - 5. Removals.
- L. Administrative disciplinary matters.
  - 1. Offenses which are administrative in nature may be handled directly by supervisors with the assistance of members of the personnel staff. Offenses which are administrative in nature may involve:
    - (a) Chronic or habitual tardiness.
    - (b) Misuse of sick leave.
    - (c) Drinking intoxicants while on duty.
    - (d) Loafing (willful idleness or wasting time during working hours).
    - (e) Reporting for duty intoxicated or under the influence of intoxicants.
    - (f) Insubordination (refusal to obey orders, insolence and like behavior).
    - (g) Absence without leave (any leave from duty which has not been authorized in accordance with the leave instructions).
    - (h) Constant quarreling, wrangling, provoking, or fighting with other employees, or interfering with their work.
    - (i) Employee indebtedness cases.
  - 2. Where evidence is clearly documented and no investigation is required concerning drinking of intoxicants on duty, or reporting for duty intoxicated or under the influence of intoxicants, disciplinary action may be taken.
- M. Advanced notices of proposed adverse action.
- N. Status of employee pending decision.

- O. Delivery of advance notice.
- P. Consideration of employee's reply.
- Q. Necessity of new advance notice.
- R. Notice of final decision.
- S. Employee oral replies.
  - 1. General information.
  - 2. Requests to make oral reply.
  - 3. Employee's representative.
  - 4. Leave and travel.
  - 5. Conduct of oral reply proceedings.
  - 6. Record of oral proceedings.
  - 7. Decision of disciplinary official.
- T. Appeals from disciplinary action decision - agency adverse action appeals procedure.
- U. Appeals to the Civil Service Commission.

REFERENCES:

- 1. Federal Personnel Manual, Chapter 751.
- 2. Federal Personnel Manual, Chapter 752.
- 3. Administrative Orders 202-751, 752.
- 4. Department Order 77.
- 5. Administrative Order 202-771.

Session 19

Methods and Techniques for Handling  
Grievances and the Dissatisfied Employee

OBJECTIVE: To develop an appreciation and understanding of the grievance procedure, what it consists of, and how it works.

A. Definitions.

- 1. A "complaint" is an employee's informal expression of dissatisfaction with aspects of his employment or working conditions which are outside his control and which are not subject to consideration under another established appeals or review procedure.
- 2. A "grievance" is an employee's expressed feeling of dissatisfaction, presented in writing, with aspects of his employment which are outside his control, which have not been resolved to his satisfaction through informal discussion, and which are not subject to appeal or review under another established procedure.

3. "Employee Representative" is a person designated by the employee to assist, or to act for, the employee in the presentation of his grievance. The "employee representative" may or may not be an employee of the Department of Commerce.
4. A "Hearing" is an employee's personal presentation, or that of a representative designated by him, of his case to a hearing officer. Employees are entitled to a hearing.

#### B. Principles.

1. Sound personnel management principles and progressive leadership techniques will be applied at all levels of management when considering complaints on grievance appeals.
2. Because grievances and misunderstandings may arise in almost any work situation, employees shall be free from restraint, interference, coercion, discrimination or reprisal in presenting their complaints or grievances under these procedures. The stating of a grievance in good faith by an employee will not cast any reflection on his standing with his supervisor or his loyalty and desirability as an employee.

#### C. Responsibility of supervisors.

1. Supervisors at all levels are responsible for performing their personnel management duties in a manner which will promote a climate of confidence and teamwork among employees and which will assure employees of fair and responsive consideration of their welfare rights. The immediate supervisor will be the first point of contact for an employee who has a complaint or grievance. Supervisors are also responsible for:
  - (a) Maintaining a fair, considerate, and open-minded attitude toward employees so that they will feel free to seek informal adjustment of any dissatisfaction in their work situations.
  - (b) Being alert to the presence of employee dissatisfaction, finding the reasons, clarifying any misunderstandings that arise and, where it is not possible to settle the issue informally, making certain that the employee is aware of his right to present the matter under the grievance procedures.
  - (c) Demonstrating a willingness, and being willing to listen to and to consider employee's problems.

- (d) Satisfying themselves that they have exhausted all possible means to settle the issues informally.
- (e) Cooperating with Personnel Officers who may be attempting to help resolve an employee's dissatisfaction.
- (f) Giving prompt, thorough, and impartial consideration to grievances and making a fair decision or recommendation based on the facts found to exist.

D. Responsibility of Personnel Officers.

1. Personnel Officers are responsible for counseling employees on grievance procedures and assisting supervisors in resolving complaints and adjudicating grievances. The Personnel Officer acts impartially in an advisory capacity and in no way assumes the supervisor's responsibility for resolving a complaint or a grievance.
2. Personnel Officers are responsible for resolving any complaints and assisting in the adjudication of any grievances relating to the operation of the personnel office.

E. Responsibilities and rights of employees.

1. Employees are expected to cooperate with co-workers and supervisors in the accomplishment of the mission of their office.
2. Employees have the right, and are encouraged, to consult with their immediate supervisors or members of the servicing personnel office concerning any problem relating to their duties, working conditions, employment situation, and other matters involved in their daily work performance.
3. In presenting a complaint or grievance appeal, each employee shall (a) be dealt with impartially and objectively; (b) be free from restraint, interference, coercion, discrimination, or reprisal; (c) have the right to be accompanied, represented, and advised by a representative of his own choosing; and (d) be given a reasonable amount of official time to present his case if he is otherwise in an active duty status. The employee's representative may be a representative of an employee organization, an employee, or a non-employee.

F. Rights of employees designated as employee representatives.

1. An employee may, if he so wishes, agree to represent another employee in the presentation of his grievance before a hearing officer or a management official.

2. Whenever an employee is designated as a representative by an employee to present his grievance, the representative shall (a) be free from restraint, interference, coercion, discrimination, or reprisal; and (b) be given a reasonable amount of official time to make the presentation if he is otherwise in an active duty status.

G. Rights of exclusively recognized employee organizations.

H. Complaints.

1. To foster employee satisfaction and to promote good employee-supervisor relationships an employee who has a complaint will initially present the matter on an informal basis, to his immediate supervisor either orally or in writing.
2. When a complaint involves a matter within his control, the supervisor will (a) hear the employee's complaint promptly; (b) impartially and objectively review the facts and make every effort to adjust reasonable complaints; and (c) inform the employee of the decision after receipt of all pertinent data.
3. When the complaint involves a matter beyond the control of the immediate supervisor, the supervisor shall counsel the employee and, as appropriate, pass on to him information which may have a bearing on his complaint.

I. Grievance appeal procedure.

1. Presentation and content of grievance appeal.
  - (a) These procedures provide appeal of matters which are not subject to appeal under another established procedure. A complaint becomes a grievance appeal when an employee chooses to pursue the matter further after he has made a reasonable effort to resolve the matter informally.
  - (b) Grievance appeals must be submitted on a timely basis.
  - (c) The employee's appeal must be submitted in writing, through normal channels to the first appropriate level above the supervisory level where the matter was considered as a complaint. The employee's appeal must contain the following information.
    - (1) A clear, detailed statement of the grievance.
    - (2) A clear statement of the remedial action or relief sought.
    - (3) Evidence (documentary, if available) to support his appeal.

- (4) A brief summary of the results of previous discussions on the issues involved.
- (5) A statement of reasons why the employee believes that the remedy sought should be granted.
- (6) The name of his representative, if he has designated one.
- (7) A request to present his case before a hearing officer if he wishes to do so.

- J. Action on request for hearing.
- K. Prompt decision on appeal.
- L. Arranging for hearings.
- M. Conduct of hearings.
- N. Leave and travel.
- O. Final appeal.
- P. Advisory arbitration of grievances.

REFERENCES:

1. Federal Personnel Manual, Chapter 771.
2. Handling Employee Dissatisfactions, Army Civilian Personnel Pamphlet No. 41-B-34.
3. Administrative Order 202-770.

Session 20

The Safety Program

OBJECTIVE: To develop an appreciation of the need for safety in the work area and an understanding of the supervisor's role in implementing our safety program.

- A. Authority - Sections 7902 and 7903, Title 5, U. S. Code authorize and direct the heads of all agencies and departments to develop, support, and foster organized safety programs for the purpose of reducing the number of accidents and injuries among Government employees.
- B. Safety Program objectives -- It shall be the objective to reduce to an absolute minimum the number of accidents and injuries to employees and to the public as a result of its operations; to encourage safe practices; and to eliminate work hazards and health risks.

C. Training and education.

1. "Safety-consciousness" should be promoted among employees by various methods.
2. Safety training should be made available to safety inspectors, key supervisors, persons responsible for safety programs, or other employees as appropriate.
3. All employees should be instructed as to location of nearest fire alarm box, how to turn in an alarm, building evacuation routes and procedures, etc.

D. Motor Vehicle Safety.

1. Physical fitness.
2. Driving permits.
3. Seat belts.
4. Inspections.
5. Defensive driving.

E. Physical hazards in offices.

F. Accidents, Reports, Investigations, Claims.

1. Responsibilities.
2. Definitions.
3. Accident reports and investigations.
4. Action required.
  - (a) Informal investigations.
  - (b) Formal investigations.
5. Claims.
6. Suits.

G. Safety Awards.

H. Items that must be considered in determining the cost of an accident.

1. Salary of person injured while off the job.
2. Cost of medical care.
3. Damage to equipment.
4. Lost time of fellow workers who stop work.
5. Supervisor's time in finding out why the accident happened and in reporting.
6. Lowered production because of upset, shock, or diverted interest of workers.
7. Lost production because of stoppage of machine or process.
8. Decreased effectiveness of injured worker.

I. Steps to be taken in investigating an accident.

1. Go to the scene of the accident as quickly as possible.

2. Get identifying information as to:
  - (a) Who was involved.
  - (b) What happened.
  - (c) When did it happen.
  - (d) Where did it occur.
  - (e) Why did it happen.
  - (f) Who was injured or what was damaged.
3. Determine the cause of the accident.
4. Locate indirect causes; check equipment, layout, methods, and persons.
5. Estimate the extent of the damages to persons, equipment, and materials.
6. List the action necessary to remove the causes.
7. Take necessary action.
8. Follow up to see that the desired result has been achieved.

J. Specific responsibilities of the supervisor for safety.

1. Cooperates in carrying through organized safety programs.
2. Seeks safe operations and conditions on continuing basis.
3. Makes safety inspections.
4. Investigates all accidents.
5. Takes action to remove causes of accidents.
6. Enlists cooperation of workers.
7. Delegates responsibility when possible.
8. Trains workers in safe work habits.
9. Motivates workers to follow safe practices.
10. Prepares accident reports.
11. Conducts group safety meetings.

REFERENCES:

1. Public Law 347.
2. Safety On-the-Job, Army Civilian Personnel Pamphlet No. 41-B-81.
3. Finding and Eliminating Accident Causes, Army Civilian Personnel Pamphlet No. 41-B-82.
4. Federal Tort Claims Act.
5. National Safety Council material.
6. Administrative Order 209-4.
7. Administrative Order 209-5.

Session 21

Labor and Management Relations

OBJECTIVE: To help supervisors develop an appreciation of the role of employee organizations and their relationships with the Commerce Department and an understanding of the broad concepts of Executive Order 10988.

- A. Purposes of Executive Order 10988 - "Employee Management Cooperation in the Federal Service.
1. To provide Federal employees an opportunity for greater participation in the formulation and implementation of policies and procedures affecting the conditions of their employment.
  2. The preamble to the Order sets the stage for Federal-wide employee-management cooperation programs by requiring that orderly and constructive relationships be maintained between employee organizations and management officials and by affirming that the requirements of the Federal Service and the effective conduct of the public business are paramount.
- B. Employee Rights. An employee has and shall be protected in the exercise of the right.
1. To form, join, and assist any employee organization or to refrain from any such activity.
  2. To bring matters of personal concern to the attention of appropriate management officials under applicable laws, regulations, etc. regardless of the type of recognition granted to an employee organization.
  3. To choose his own representative in a grievance or appellate action.
- C. Limitations on employee rights.
1. The previously described rights do not extend to participation in the management of an employee organization or action as a representative of any such organization where the participation would be in conflict or incompatible with law or with the official duties of the employee. Determinations of conflict of interest and incompatibility with official duties will be made by management both on a position category basis and an individual situation basis.
  2. Personnel officers, training officers, and certain management officials will not be permitted to hold office in, or represent, an employee organization because of conflict of interest or incompatibility with official duties.
- D. Management Responsibility.
1. Ensuring that employees are informed of their rights under Executive Order 10988.
  2. Ensuring that no interference, restraint, or discrimination is practiced to encourage or discourage membership in an employee organization.

3. Refraining from dominating or interfering with the formulation or administration of an employee organization.
4. Recognizing the rights of all employees regardless of employee organization affiliation.
5. Applying the basic criterion "will it contribute to the effective conduct of the public business?" in all dealings and actions in connection with employee organization proposals.
6. Adhering to the Code of Fair Labor Practices which prohibits management from:
  - interfering with an employee in the exercise of the rights assured by the Order;
  - encouraging or discouraging membership in any employee organization by discrimination with regard to hiring, promotion, or other conditions of employment;
  - sponsoring, controlling, or otherwise assisting any employee organization except for the furnishing or customary services and use of facilities;
  - disciplining or discriminating against any employee because he filed a complaint or gave testimony under the Standards of Conduct for Employee Organizations or the Code of Fair Labor Practices.
7. Supervisors are responsible for keeping employees informed on their rights, obligations, and any applicable limitations on participation in the management of employee organizations.

E. Organizations that can be recognized.

F. Types of recognition.

1. Executive Order 10988 provides for three levels of recognition, namely informal, formal and exclusive. The rights of employee organizations are:
  - (a) informal recognition - to be heard on matters affecting members;
  - (b) formal recognition - to be heard and to be consulted on matters affecting members.
  - (c) exclusive recognition - to be heard, consulted, and to negotiate agreements for employees in the unit for which exclusive recognition has been granted.

G. Appropriate unit.

H. Scope of consultation and negotiations.

I. Services to be provided to employee organization.

REFERENCES:

1. Executive Order 10988.
2. Federal Personnel Manual, Chapter 711.
3. Standards of Conduct for Employee Organizations and Code of Fair Labor Practices.

UNIT III INDIVIDUAL AND GROUP PERFORMANCE

Block 7 Individual Performance

Session 22

Elements of Human Relations

OBJECTIVE: To develop an appreciation for the need of good human relations, and an understanding of how unsatisfactory human relations can affect an organization as well as how they can be detected and improved.

- A. Why we have need for good human relations
  - we must deal and get along with many people.
    1. Persons under your direction.
    2. Persons above you in the organization.
    3. Other supervisors with whom you cooperate.
    4. Staff specialists.
    5. Persons from other offices.
    6. The public.
- B. We are also concerned with relationships between members of our own work force and between our employees and those of other groups.
- C. Why antagonisms build up.
  1. Most people are proud and sensitive.
  2. Feelings are easily hurt; even a fancied slight can disturb relations with employees.
- D. Causes of bad feelings.
  1. Lack of consideration
    - (a) Arrogance
    - (b) Ridicule
    - (c) Lack of Understanding.
  2. Loss of temper.
    - (a) Emotional factors - "chip-on-the-shoulder".
    - (b) Physical factors - tired, health.

- (c) Frustrating factors - working conditions,  
work itself.
- 3. Personal mannerisms.
- E. Attitudes which tend to foster good human relations.
  - 1. A sincere interest in people
  - 2. A recognition of the importance, dignity,  
basic rights, and responsibilities of each  
individual
- F. Unsatisfactory human relations may lead to:
  - 1. Complaints and grievances.
  - 2. Lower morale.
  - 3. Lower production.
  - 4. Disciplinary problems.
  - 5. New employees getting off to bad start.
  - 6. Higher turnover.
  - 7. Higher absenteeism.
- G. Conditions that may indicate existence of human  
relations problems.
  - 1. Sudden change in the usual behavior of employees.
  - 2. Hostility between employees.
  - 3. Lower production.
  - 4. Poorer quality of work.
  - 5. Unusual number of transfers or absentees.
- H. Techniques for gathering data to help resolve human  
relations problems.
  - 1. Interview various employees concerned.
  - 2. Observe employees and their work.
  - 3. Review work reports and records.
  - 4. Make survey of employees involved.
- I. Ways to prevent unsatisfactory human relationships.
  - 1. Know each person
  - 2. Treat employees in a dignified manner.
  - 3. Assume each employee is trustworthy and able  
to do his job unless proved otherwise.
  - 4. Be scrupulously fair.
  - 5. Investigate and dispel rumors.
  - 6. Avoid being "bossy".
  - 7. Listen to complaints and problems.
  - 8. Be interested, tolerant, and sympathetic.
  - 9. Be loyal.

REFERENCES:

1. The Supervision of Personnel - Pfiffner
2. Elements of Human Relations - Army Civilian Personnel Pamphlet No. 41-B-4
3. How to Understand Workers - Air Force Conference Outline 40-10-13
4. How to Apply Problem Solving Techniques to Human Relations Problems
5. Human Factors in Management - Haslett

TRAINING AIDS:

Film

Inner Man Steps Out

Session 23

Understanding Employees as Individuals

OBJECTIVE: To develop a better appreciation of the characteristics of people, how they are alike and how they are different, and how to deal with these differences.

A. Basic needs of employees - why they work.

1. For money and the food, shelter, and goods money buys.
2. For status and recognition.
3. To belong; to be part of a group.
4. To get to the top.
5. Because it's only right that people should work.
6. For knowledge and understanding.
7. For security.
8. For the feeling of accomplishment from a job well done.

These are not present to the same degree in all people, nor are they held in the same order.

B. Ways in which individual workers differ.

1. Attitudes
2. Abilities
3. Aptitudes
4. Interests
5. Experience
6. Emotions
7. Education
8. Age
9. Knowledge

10. Skills
11. Physical characteristics
12. Personal traits
13. Social tendencies
14. Likes and dislikes

C. How people differ emotionally.

1. Some people get angry more quickly than others.
2. Some people get upset more easily than others.
3. Some people work better on pressure jobs.
4. Some people "blow up" on pressure jobs.
5. Some people need more attention than others.

D. Individual differences and their bearing on making assignments.

1. Highly emotional people usually do not perform too well under continued pressure.
2. Shy individuals usually are not too satisfactory in jobs such as receptionists.
3. Workers with formal education in a given field may not be too satisfactory on jobs in totally different fields of work.
4. Workers with little or no interest in their assignments usually do not perform efficiently.
5. Workers with poor finger dexterity usually are not satisfactory on tedious mechanical-type jobs.

E. People work best when they feel that they and their work are important.

Supervisors can make them feel this way if they:

1. Understand that each worker is an individual.
2. Find out what each wants from his job.
3. Put this knowledge to work by the way you deal with each worker in such situations as:
  - (a) Correcting mistakes or criticizing.
  - (b) Praising and giving credit.
  - (c) Dealing with personal problems.
  - (d) Resolving personal conflicts.
  - (e) Getting them to work as a member of a group.
  - (f) Handling grievances.
  - (g) Giving instructions.
  - (h) Introducing changes.

F. Useful reasons for knowing more about workers and how and why they act as they do.

1. To learn how to get along with workers.

2. To be able to help workers get along with each other.
3. To make our jobs easier and more satisfying.
4. To help workers adjust to their jobs.
5. To help workers do their jobs.
6. To increase productivity of workers.
7. To learn how to handle problem workers.
9. The more you know about people and what makes them "tick" the better you can work with them.

G. Workers are people with:

1. Ambitions that can be stirred.
2. Pride that can be hurt.
3. Nerves that can be shattered.
4. Hopes that can be realized.

REFERENCES:

1. Working With People - Uris and Shapin
2. Managerial Psychology - Leavitt
3. How to Understand Workers - Air Force Publication 40-10-13

Session 24

Overcoming Resistance to Change

OBJECTIVES:

1. To provide supervisors with a greater perception of the forces that cause employees to resist change.
2. To increase understanding of individual and group behavior in a period of transition.

A. Why people resist change.

1. Fear of economic loss.
2. Unpleasant experiences in past.
3. Loss of status.
4. Criticism is implied.
5. Ego threat.
6. Fear of the unknown.

B. Six steps to initiate change.

1. Prepare to sell (change).
2. Identify sources of help.

3. Anticipate objections.
4. Sell benefits.
5. Listen in depth.
6. Followup.

REFERENCE: Management-Minded Supervision - Boyd

FILM: Men At Work

Block 8 Group Performance Session 25

Building Good Work Relationships

OBJECTIVE: To develop an appreciation of the factors that make for good working relationships on the job.

A. Provide factors that make for good motivation.

1. Well-defined work goals.
2. Well-defined job descriptions.
3. Good technical work management.
4. Good physical working conditions.
5. Realistic appraisals of competence and ability.
6. Authority and responsibility delegated on a sound basis.

B. Positive steps for building good relationships.

1. Know each employee
2. Give new men a good start.
3. Make sufficient work observations to keep informed on its status.
4. Let employees know how they are getting along.
5. Give credit where due, give help where needed.
6. Encourage employees to participate in solving work problems.
7. See that employees are trained in their job duties.
8. Handle problems calmly and competently.
9. Go to bat for employees when necessary.
10. Encourage employees to accept as much responsibility as they are ready to handle.
11. Strive continuously for improvements.
12. Let employees know of changes that will affect them.
13. Ask employees for work improvement suggestions; listen to their ideas.

14. Try to make your wishes known by suggestions or requests whenever possible.
15. Explain the why of things that are to be done.
16. When you make a mistake, admit it and apologize.
17. Criticize constructively and in private; give reasons for criticisms and ways to correct.
18. Be consistent in your actions.
19. Set reasonable goals.
20. Show confidence in your employees.
21. If an employee gripes, find out why.
22. Settle all grievances at your level, if possible.
23. Give clear, definite instructions and then let employees make full use of their initiative to carry them out.
24. Make assignments on an impartial basis.
25. Keep your personal problems to yourself while on the job.
26. Say "we" instead of "I".
27. Being non-discriminatory and non-prejudicial in dealing with employees.

C. Areas of potential discriminatory actions to be alert to:

1. Recommending employees for promotion.
2. Assigning work.
3. Making performance appraisals.
4. Selecting new employees.
5. Allotting space or issuing equipment.
6. Granting leave.
7. Taking disciplinary action.

D. Possible bases of discrimination or prejudice which normally have nothing to do with ability to accomplish work:

1. Physical build and appearance.
2. Speech habits and accents.
3. Religion.
4. Race.
5. Color.
6. National origin.
7. Political affiliation.
8. Personal mannerisms and behavior.
9. Sex of employee or applicant.
10. Outside interests and activities.

E. Likely results of failure to recognize and guard against discriminatory or prejudicial actions:

1. Loss of valuable worker or applicant.
2. Waste of manpower through making poor work assignments.
3. Lowering of employee morale.
4. Loss of job motivation.
5. Loss of respect of subordinates and supervisors.
6. Developing reputation for being unjust.
7. Being given formal charges of unfairness.
8. Jeopardizing own chances for advancement.

F. How to reward employees:

1. Be sure reward is warranted.
2. Carefully select type of reward.
3. Distribute rewards fairly.
4. Explain purpose for rewards.
5. Inform others.
6. Keep records.

G. Guides to employee correction:

1. Be sure it is necessary.
2. Correct in private.
3. Be matter-of-fact.
4. Start with a favorable comment, if possible.
5. Suit the correction to the person corrected.
6. Tell what's wrong, and why.
7. Give him a chance to comment.
8. Tell how to make the correction.
9. End on an encouraging note.

H. How to handle on-the-job conflicts:

1. Approach the matter calmly.
2. Be strictly impartial.
3. Get to the bottom of the conflict.
4. Make the individuals recognize their motivations.
5. Show why antagonism doesn't belong on the job.
6. Try to bring about a friendly relationship.
7. Follow up on the job.

REFERENCES:

1. Working With People - Uris and Shapin
2. Building Good Relationships - Army Civilian Personnel Pamphlet No. 41-B-32.

Session 26

Understanding Employees as Members of Groups

OBJECTIVE: To develop an appreciation of the nature of groups, their characteristics, and the role they play in organizations.

A. Definition of a group.

1. Two or more people who associate together; have certain common sentiments, attitudes, and values; carry on activities together; have feelings of mutual identification and recognition; and normally pursue a common goal.

B. Most people belong to many groups:

1. Work
2. Social
3. Civic
4. Church
5. Recreational
6. Professional development
7. School
8. Political

C. Main characteristics of groups:

1. Membership
  - (a) Involves much more than mere listing of individual's name among those of other group members.
  - (b) Includes mutual recognition among members of some common purpose.
  - (c) Cohesive strength of group varies directly with the nature of its common purpose --
    - it is strong when the purpose is fundamental such as protection or support.
    - it is relatively weak when the purpose is of lesser importance such as interest in a hobby.
    - cohesive strength is also weakened by antagonistic beliefs, divergent personal convictions, and differing values.
2. Objectives and needs
  - (a) All groups exist for some purpose or objective.
  - (b) Work groups are established to accomplish specific assignments or to divide force into manageable teams.
  - (c) Work group must meet economic needs for a member to join and remain with it.

- (d) Work group should also meet needs of recognition, accomplishment, service, and acceptance or the member never fully becomes a member of the team (group) or gives his best.
  - (e) Role of organization-sponsored group activities which are non-work in nature - bowling and golf teams, social activities, organized trips, etc.
3. Group norms or standards of conduct:
- (a) They are the group's expectations of its members - what members ought to do in given situations.
  - (b) Group standards become a form of group control and pressure on individuals - a part of their way of life and what is right and what is wrong for them.
  - (c) Group standards can result in practices that are not the most efficient.
  - (d) Supervisors should try to bring group standards and management standards together.
4. Attitudes or perceptions:
- (a) Group attitudes are the points of view employees collectively take about the work they are doing, their work goals, or the conditions which surround the work.
  - (b) Group attitudes determine how employees will react to new employees, changes in work methods, changes in work hours, changes in type of work, etc.
  - (c) Perception is how groups interpret information or actions that affect them.
  - (d) If a new worker cannot adopt the group's attitude or change their attitude to his, he will either transfer from the group or find another source for work-related satisfactions.
  - (e) In situations where groups are not formed by free choice (frequently in work situations), significant differences in attitude can split the group into two or more units which may affect working relationships; supervisors should be alert to these and try to cope with them.
5. Patterns of structure:
- (a) Group structure is the pattern of relationships among members in a given group.
  - (b) Structure of work groups results from the following:
    - (1) Differing abilities.
    - (2) Differing responsibilities.
    - (3) Differing interests.
    - (4) Differing points of view.
    - (5) Relative status of group members.
    - (6) Personal liking for each other.

D. Principles that are helpful in understanding group behavior.

1. A group tends to be attractive to an individual and to command his loyalty to the extent that:
  - (a) It satisfies his needs and helps him achieve goals that are compelling to him.
  - (b) It provides him with a feeling of acceptance and security.
  - (c) Its membership is congenial to him.
  - (d) It is highly valued by outsiders.
2. Each person tends to feel committed to a decision or goal to the extent that he has participated in determining it.
3. A group is an effective instrument for change and growth in individuals to the extent that:
  - (a) Those who are to be changed and those who are to exert influence for change have a strong sense of belonging to the same group.
  - (b) The attraction of the group is greater than the discomfort of the change.
  - (c) The members of the group share the perception that change is needed.
  - (d) Information relating to the need for change, plans for change, and consequences of change is shared by all relevant people.
  - (e) The group provides an opportunity for the individual to practice changed behavior without threat or punishment.
  - (f) The individual is provided a means for measuring progress toward the change goals.
4. Every force tends to induce an equal and opposite counterforce. (Thus, the preferred strategy for change, other things being equal, is the weakening of forces resisting change rather than the addition of new positive forces toward change. For instance, if a group in an office is resisting a new work procedure, it may be because they don't understand how it will work, in which case a demonstration or trial experience will be superior to pressure.)
5. Every group is able to improve its ability to operate as a group to the extent that it consciously examines its processes and their consequences and experiments with improved processes.

6. The better an individual understands the forces influencing his own behavior and that of a group, the better he will be able to contribute constructively to the group and at the same time to preserve his own integrity against subtle pressures toward conformity and alienation.
7. The strength of pressure to conform is determined by the following factors:
  - (a) The strength of the attraction a group has for the individual.
  - (b) The importance to the individual of the issue on which conformity is being requested.
  - (c) The degree of unanimity of the group toward requiring conformity.
8. The determinants of group effectiveness include:
  - (a) The extent to which a clear goal is present.
  - (b) The degree to which the group goal mobilizes energies of group members behind group activities.
  - (c) The degree to which there is agreement or conflict among members concerning which one of several possible goals should control the activities of the group.
  - (d) The degree to which there is agreement or conflict among the members concerning means that the group should use to reach its goal.
  - (e) The degree to which the activities of different members are coordinated in a manner required by the group's tasks.
  - (f) The availability to the group of needed resources, whether they be economic, material, legal, intellectual, or other.
  - (g) The degree to which the group is organized appropriately for its task.
  - (h) The degree to which the processes it uses are appropriate to its task and stage of development.

REFERENCES:

1. Leadership and Supervision - Civil Service Commission, Personnel Management Series #9
2. Introduction to Group Dynamics - Knowles

Session 27

Communication and the Supervisor

OBJECTIVE: To develop an increased understanding of (1) how communication assists the supervisor accomplish his work, and, (2) the purposes of communication as well as the skills, techniques, and means of communication that can be used to accomplish these purposes.

A. Definitions of communication.

1. The act of making oneself understood in expressing thoughts and opinions.

2. The means of passing or sending information from one place to another.
3. Interchanges of thoughts and opinions.
4. Intercourse by words, letters or messages.
5. Communication is all forms of persuasion (Socrates).

B. Purposes of communication.

1. To inform or deepen understanding.
2. To instruct.
3. To influence and obtain acceptance.
4. To distribute and assign work.
5. To provoke action.
6. To control.
7. To record.

C. Need for communication.

1. Internal
  - (a) Commerce is run and operated by people; they need to know clearly what to do, what is expected of them, what the work guidelines are, and what organizational information is of interest to them (communication down - see patterns of communication - item H).
  - (b) Top management needs to know what accomplishments and problems are (communication up).
  - (c) Associates need to know of our activities for effective coordinated effort (communication across).
2. External
  - (a) We have a responsibility to issue, and the public has a right to expect clear and correct information which is presented concisely and courteously.

D. How we communicate.

1. Word of mouth (orally).
2. Written word.
3. Pictures, graphs, tables.
4. Mannerisms, gestures, expression.
5. Examples we set.

E. Communication skills.

1. Thinking
2. Speaking
3. Writing
4. Reading
5. Observing
6. Gesturing
7. Listening

F. Ingredients of communication.

1. Sender
2. Message
3. Channel
4. Receiver

G. Channels of communication.

1. Formal - follows the lines of the organization chart; usually represented by "patterns" mentioned in H. below.
2. Informal - commonly called the "grapevine."
  - (a) Exists in every organization.
  - (b) Arises from the social interaction of employees.
  - (c) Frequently results in distorted and confusing information.
  - (d) Is often faster than formal channels.
  - (e) Supervisor should know it exists and try to get it to work with him rather than against him.

H. Patterns of communication.

1. Communication down - from higher level in organization to lower; examples - Orders, employee newspapers, letters, memoranda, telegrams, oral communications (conferences, telephone calls, face-to-face discussions), etc.
2. Communication up - from lower level to higher; examples - letters, memoranda, telegrams, reports, oral communications (conferences, telephone calls, face-to-face discussions), etc.
3. Communication across - between organizational units of same level or between peers; examples - letters, memoranda, reports, oral conferences, telephone calls, face-to-face discussions, etc.
4. Communication outward - with other governmental agencies and components as well as the tax-paying public; examples - letters, form-letters, memoranda, reports, oral communications (conferences, telephone calls, face-to-face discussions), etc.

I. One-way and two-way communication.

1. One-way (generally communication down).
  - (a) Is faster.
  - (b) Sender feels comparatively secure.
  - (c) Receiver feels insecure.
  - (d) Errors may go unresolved.
  - (e) Is neat and "business-like" in appearance.

2. Two-way (communication down and up).
  - (a) Is generally more accurate.
  - (b) Sender is subject to questions and criticism.
  - (c) Is more time-consuming.
  - (d) Mistakes in sending or receiving can be worked out.
3. Since each has advantages and disadvantages, the one appropriate to the situation should be selected.

J. Barriers to communication.

1. Differing backgrounds of sender and receiver (no common frame of reference).
2. Use of unusual words.
  - (a) Technical words.
  - (b) Special words.
  - (c) Abstract words.
3. Ambiguous, vague and indefinite language.
4. Emotional condition of sender or receiver or both.
5. Limited vocabulary.
6. Misinterpretation of words, thoughts, phrases, sentences.
7. Relaying too much information at one time.
8. Relaying too little information.
9. Relaying information too fast.
10. Assumption that receivers understand precisely.
11. Assumption by sender that messages are clear and not misleading.
12. Jumping to conclusions.
13. Ineffective listening.
14. Lack of empathy.
15. Relative status of sender and receiver.
16. Interpersonal or job jealousy.
17. Bias.
18. Noise and other distractions.
19. Physical distance.
20. Difficulty in getting to see supervisor.
21. Organizational complexity.

K. Suggestions for improving readability of written communications.

1. Use relatively short words, sentences, and paragraphs. Big words and thick reports may look impressive, but they may not communicate nearly as well.
2. Use familiar words.
3. Use human interest words and personal pronouns whenever the style permits.
4. Use illustrations, charts, and examples.
5. Use active verbs.
6. Arrange thoughts in logical direct style.
7. Avoid odd sentence structure and superfluous words.

L. Suggestions for increasing effectiveness of written communications.

1. Pin down purpose of communication (what do you expect the receiver to know or do as a result of the communication?).
2. Plan the communication before you write or dictate it (decide how much to communicate and how to organize it so the receiver can comprehend it quickly and accurately).
3. Use a direct, vigorous writing style (following readability guidelines given in K above), being sure to follow your plan.
4. Take time to appraise the communication before you sign or initial it -
  - Is it complete? (Does it answer the questions, cover the issues?)
  - Is it clear? (Clear to the receiver)
  - Is it correct? (Technically? Grammatically?)
  - Is it concise? (No unnecessary information and no words not needed for clarity or tone).
  - Is it appropriate in tone? (Is the approach taken, as well as the writing style, suitable for the signer of the communication to use in communicating with the receiver?)
5. Determine whether it can go as is, even though it could be improved, or whether it must be revised.  
Ask yourself:
  - Will this communication accomplish the purpose for which it was written?
  - Will it represent the Department, the function, and the signer himself favorably?
6. Take advantage of your review as a management tool.
  - (a) Make both a substantive and a communication review.
  - (b) Use your review.
    - To determine strengths and weaknesses of your people.
    - To provide basis for instruction (from you, from supervisors, from instructors in training classes).
    - To spot potential.
    - To give recognition for quality work.
  - (c) Return communications.
    - That are incorrect.
    - That are not clear—vague, ambiguous, misleading.
    - That are so inappropriate in tone as to reflect unfavorably on the Government and to defeat the purpose of the communication. (Don't rewrite another's work unless it is essential that you do so. The practice may improve your writing, but it won't help his. Nor does your rewriting encourage him to be "professional" in his work—to assume full responsibility for it.)

- (d) Don't return communications just because your subordinates fail to express themselves precisely as you would.

If you have certain "pet peeves" about which you feel strongly, alert your people to them and ask them to avoid them.

At the same time, keep people working to acquire the modern, direct style which has proved to be effective and economical for Government communications.

- (e) Let your people know how you rate their communications.

When you initial or sign something that is substandard --(doing so because it is "within your tolerances" under the circumstances, e.g., urgency for getting the communication to the receiver by a certain date) by a marginal note on the carbon, by a note on a buckslip, or by a personal comment, let the writer know the weaknesses you would like him to avoid next time and that the communication--though signed--is substandard.

When you review a communication that is above standard, let the function or the individual know. This form or "reward" helps the writer and motivates other writers.

M. Suggestions for improving listening:

1. Put the talker at ease. Look and be interested.
2. Give the talker full attention.
3. Be patient. Allow plenty of time.
4. Ask helpful questions.
5. Do not argue or interrupt.
6. Do not lose your temper.
7. Do not criticize or pre-judge; this may cause people to become angry or stop talking.
8. Be sensitive to emphasis given words, tone of voice used, and general attitude of talker toward his subject.

REFERENCES:

1. Handling Barriers in Communication - Irving J. Lee and Laura L. Lee
2. Process of Communication - David K. Berlo
3. Communication---Patterns and Incidents - Haney
4. Management --- Employee Communication in Action - Zelko and O'Brien

5. Reference Manual "More Effective Communications" - Industrial Education Institute, Boston, Massachusetts
6. How to Write, Speak, and Think More Effectively - Flesch
7. Listening is a 10 Part Skill (pamphlet) - Ralph G. Nichols

TRAINING AIDS: Film

1. All I Need is a Conference
2. Just What is General Semantics?
3. Do You Know How to Make a Statement of Fact?
4. Why Do People Misunderstand Each Other?
5. What is a Good Observer?
6. On the Difference Between Words and Things
7. Man Who Knows It All
8. Eye of the Beholder
9. Production 5118
10. Listen Please

Session 28

Conference Leadership

OBJECTIVE: To develop an appreciation of the value of good conference leadership as well as an understanding of the accepted principles of conducting conferences.

A. Reasons for holding conferences.

1. To disseminate information.
2. To give and discuss work assignments.
3. To obtain information or advice from a group on a work problem.
4. To accomplish training.
5. To solve a problem.

B. Responsibilities of a Conference Leader.

1. Be sure to invite all who will benefit from the conference or who can make significant contributions. (Caution - keep group to manageable size).
2. Be sure meeting space is properly arranged, necessary facilities and materials are available.
3. If conference minutes are desired, be sure that a recorder is designated ahead of time and that he understands what is expected of him.
4. Begin conference promptly as scheduled.
5. Open conference in a stimulating, thought-provoking way.
6. State purpose of conference without delay, keeping remarks brief.
7. Present problem in a manner as to arouse interest, motivate thinking, and create a desire to help solve the problem.

8. Try to obtain participation from all in attendance.
9. Keep the discussion moving.
10. Keep the discussion within bounds.
11. Do not dominate the discussion or permit any participant to dominate.
12. Probe for further information as indicated.
13. Draw the conference to a logical close.
14. Summarize accomplishments, results, agreements, etc.
15. Close conference promptly as scheduled.

C. Tips for conference leaders.

1. Be thoroughly prepared, have a plan including questions to be asked.
2. Be alert and cooperative.
3. Be tactful and firm.
4. Be impartial.
5. Be a good listener.
6. Be patient.
7. Be enthusiastic.
8. Be courteous.
9. Be sincere.
10. Use humor when indicated.
11. Keep even-tempered.

D. Things conference leader should avoid.

1. Arguing.
2. Sarcasm.
3. Ridicule.
4. Distracting mannerisms.
5. Forcing his own opinion.
6. Manipulating the conference.
7. Violating confidence.
8. Discussing personalities.
9. Emotionalism.
10. Quibbling.
11. Interrupting others.
12. Pressuring the group.
13. Posing as an expert.
14. Talking over heads of group.

E. Use of questions in a conference.

1. To get discussion.
2. To stimulate interest.
3. To provoke thinking.
4. To accumulate data.
5. To distribute discussion.
6. To develop a subject.
7. To check member knowledge or understanding.
8. To get back on the track.
9. To change discussion trends.

10. To arrive at conclusions.
11. To limit or end discussion.

F. Types of questions and their purpose.

1. Overhead question - not directed to a specific person; used to start discussion and get group attention.
2. Direct question - addressed to a specific person usually for a specific purpose.
3. Reverse question - used in response to a question to have participant answer his own query.
4. Relay question - passing question from one participant to another, possibly in paraphrased manner.
5. Follow-up questions - used to expand or extend discussion.

G. Generally avoid questions that can be simply answered by "yes" or "no". Rather, ask "how," "what," "why," etc. type of questions.

H. Conduct and critique practice conference.

REFERENCES:

1. Conference Leader's Course Book - National Foreman's Institute.
2. Army Civilian Personnel Pamphlet No. 41-B-22 - Conducting Informal Meetings

TRAINING AIDS: Film

1. All I need is a Conference
2. Snowball Conference
3. "Yes-Man" Conference

UNIT IV SUPERVISORY OPERATIONAL ACTIVITIES

Block 9 Work Management

Session 29

Supervisory Planning

OBJECTIVE: To develop an appreciation of the importance of day-to-day work planning and an awareness of the steps involved.

A. Why we plan.

1. To make most efficient use of manpower.
2. To make best use of specialized skills.
3. To ensure meeting production schedules.
4. To determine what our manpower, space, and equipment requirements will be.
5. To make things happen when and how we want them to happen.

6. To allow selection of best course of action from various alternatives.
7. To help set criteria for controlling work.

B. What supervisors plan for.

1. Accomplishing work projections.
2. Distribution of work.
3. Improving methods or procedures.
4. Improving organizational structure.
5. Travel of group.
6. Annual leave of group.
7. Meeting training needs of group.
8. Self-improvement.

C. Parts of a plan.

1. Title of plan.
2. Objective of plan.
3. Outline of problem.
4. Recommendations - course of action to be taken.
5. Expected results.
6. Resource requirements.
7. Date of plan.
8. Who approved by.

D. Planning procedure.

1. Becoming aware of a possible need for formulating a plan.
2. Formulating a precise statement of the objective of the plan to be prepared.
3. Preparing a broad outline of the proposal.
4. Obtaining approval of the proposal.
5. Determining the specific outline of the plan.
6. Obtaining necessary data.
7. Evaluating data.
8. Formulating tentative conclusions and preparing tentative plans.
9. Testing components of tentative plans.
10. Preparing the final plan.
11. Testing the plan.
12. Obtaining approval of the plan.
13. Inform all who need to know.

E. Planning for the more effective use of a supervisor's time (day, week or month).

1. List all activities that consume your time.
2. Classify the activities by importance or priority to be assigned each.
3. Schedule activities that must be done.
4. Determine the standards that are to apply.

5. Establish deadlines when activities are to be completed.
6. Allow some leeway or flexibility for the unexpected.
7. Determine where work is to be done (if appropriate).
8. Identify activities with those to be responsible for them.
9. Identify tasks to be postponed or eliminated.

F. Factors which disrupt a daily plan.

1. Prolonged meetings.
2. Prolonged conversations - person-to-person or telephone.
3. Failure to delegate.
4. Unnecessary reading.
5. Treating all problems as crises.

G. Summary of principles of planning.

1. Planning is the first of the functions of management, but is continuously a part of each function.
2. Plans are a necessity for all levels of management.
3. Planning is directed toward the achievement of specific goals or objectives.
4. Planning requires an assessment of all known, pertinent facts.
5. Planning takes into account the various possible courses of action in pursuit of our objectives.
6. Planning provides for alternative actions.
7. Participation in planning generally motivates one to attempt to achieve the objective.
8. Specific objectives selected in planning must be in harmony with objectives at higher levels.
9. A planner must plan within the framework of resources that are available to him -- manpower, money, materials, equipment, organization, space, and time.
10. When objectives are changed, existing plans must be re-evaluated.
11. Timing, or scheduling, is an important feature of planning.
12. There must be coordination among related plans.
13. Controls, checkpoints must be built into plans.
14. Plans should permit some degree of flexibility and adaptability to meet changing conditions.
15. Document carefully the WHO, WHEN, WHAT, WHERE, and HOW for an achievement of your plan.

REFERENCES:

1. Management Course for the Air Force Working Leader - How to Receive, Analyze, and Plan Work Assignments - (AFP 40-10-3).
2. Army Civilian Personnel Pamphlet - No. 41-B-62 - Effective Use of Time.

Session 30

Scheduling, Assigning, and  
Controlling Work

OBJECTIVE: To develop (1) an appreciation of the supervisor's responsibilities in scheduling, assigning, and controlling work and (2) an awareness of the techniques involved in accomplishing them.

- A. Scheduling - provides a plan for the accomplishment of a certain amount of work or work related activity by a specified amount of manpower in a given period.
- B. Scheduling is one of the elements for controlling work (as discussed later).
- C. Scheduling maximizes production since it makes for a systematic use of time and manpower.
- D. Steps for supervisor to consider in scheduling work.
  - 1. Identify both the important and routine recurring functions and the activities within these functions.
  - 2. Earmark special, significant, or priority projects.
  - 3. Estimate time required to perform required activities and projects.
  - 4. Consider the deadlines that are governing in above.
  - 5. Consider what personnel and in what amounts are assignable.
  - 6. Project tentative dates for accomplishment of entire projects (or phases or parts of projects if indicated).
  - 7. Assign personnel including man-day limitations.
  - 8. Coordinate with employees, supervisors, and colleagues.
  - 9. Resolve any conflicts of time, standards, and personnel.
  - 10. Revise to fit above coordination and communicate to all.
- E. Activities that are frequently scheduled.
  - 1. Travel.
  - 2. Employee performance ratings.
  - 3. Weekly work projections.
  - 4. Monthly work projections.
  - 5. Annual work projections.
  - 6. Group meetings.
  - 7. Employee training.
  - 8. Employee vacation.
  - 9. Various reports.
- F. Steps for supervisor to consider in assigning work.
  - 1. Be sure to classify assignments by kind and level of difficulty.

2. Determine the objective or reason for each assignment.  
What purpose will it serve?
3. Plan the assignment in advance.
4. Assure that the assignment is appropriate for the accomplishment desired.
5. Assure that the assignment is sufficiently thorough.
6. Select the proper person for the assignment.
7. Select the proper place to give the assignment.
8. Be sure the man is equipped to do the job.
9. Make it purposeful for the person doing the assignment.  
What will he get out of it?
10. Delegate authority and responsibility.
11. Check for understanding of the assignment.
12. Gain the man's acceptance. Make him want to do it rather than feel he has to do it.
13. Use language at the receiver's level.
14. Allow enough time to give the assignment.
15. Plan a time schedule with the receiver -- let him participate.
16. Get receiver's suggestions on how he would do the job.
17. Leave the door open--receiver should feel free to return for further consultation.
18. Show respect for the man's ability.

G. Instances when assignments should normally be made in writing.

1. When assignment includes numerous details or is otherwise complicated.
2. When a task is new to the employee.
3. When the sequence of operation is important and should be followed exactly.
4. When an assignment is extremely important.
5. For later attention--when an employee returns or when he cannot attend to the matter at present.
6. When quoting orders of higher authority.
7. When an employee is to be held strictly accountable.

H. Reasons why written assignments are sometimes misunderstood.

1. Giving incomplete information.
2. Using unfamiliar words.
3. Using words that do not have clear or precise meanings.
4. Differing frames of reference of sender and receiver.
5. Not writing in a clear and logical manner.

I. Instances when assignments might be made orally.

1. When assignments are simple or minor in nature.
2. When they are routine or recurring in nature.
3. When clarifying or supplementing a written order.
4. In emergencies.

- J. Reasons why oral assignments are sometimes misunderstood.
1. Giving information when distractions are present.
  2. Information is not presented in orderly and logical sequence.
  3. Differing frames of references of persons involved.
  4. Assuming employee has necessary background, when in reality he doesn't.
  5. Employee is inattentive.
  6. Speech is not distinct.
  7. Using words that are too technical or too abstract.
- K. Controlling implies measuring the quality and/or quantity of work progress against a schedule (or other standards) and making necessary adjustments in the work standards, manpower assigned, or in the schedule.
- L. Nature of controlling.
1. Controlling assures management that that which was planned is being carried out - according to plan. Control is the Siamese Twin of planning. Without planning, there is no need of control. Either function is useless alone. Together they are complementary.
  2. Controls should be so devised as to let managerial levels know when critical deviations occur in the execution of our plans, in time to do something about such deviations before it is too late.
  3. A poor control is to find out in August, that you failed to proceed according to plan in June, for something you forgot to do in March. Controls should be like a flyer's instruments. They let him know how he is proceeding and where he is going at all times.
- M. Controls exist in many forms, common controls include policies, budgets, reports, statistics, centralization, limiting delegations, reviews, audits, inspections, evaluations, follow-ups, appeal systems, and quality spot-checks.
- N. Controls can be useful, too, if utilized for the positive focusing of attention on innovations, improvements, or better processes, as well as on violations, omissions, deficiencies, or deviations in operations.
- O. Steps for supervisors to consider in controlling work.
1. Organizing, planning, and staffing must first be accomplished.
  2. Standards must be set during planning phase.
  3. Standards must be made clear to those who are to follow them.
  4. Performance must be evaluated against standards.
  5. Deviations should be corrected as they occur.

P. Use of controls.

1. The cycle of control results should permit each level to profit by review of sub-controls as they are consolidated and moved upward in the structure. Too often, subordinate managers do not look to such information for their own guidance purposes. They merely object to the workload in recording or accumulating the control data for "someone else's eventual use." Controls should be so devised, and their results should so flow as to be useful to each successive level of management. Their handling must be expeditious, with prompt adjustment of deviations. This is especially so in large complex operations such as ours.
2. Gathering of statistics can be meaningless and wasted effort to many. Managers need to be instructed on using and interpreting control data, or knowing its eventual use, else their uninformed opposition can wreck a sound and necessary system.

REFERENCES:

1. Management Course for the Air Force Working Leader.
2. The Management Process - Air Force Manual 25-1.
3. Principles of Management - Koontz and O'Donnell

TRAINING AIDS: Film

1. Breaking the Delegation Barrier.

Session 31

Improving Work Methods

OBJECTIVE: To develop an appreciation of the importance of improving work methods and an understanding of the techniques that may be used to accomplish such improvement.

A. Reasons for methods improvement.

1. Increase production.
2. Increase quality of work.
3. Decrease unsatisfactory work.
4. Lower production cost.
5. Make work easier to do.
6. Increase work safety conditions.
7. Improve morale.

B. Areas which may indicate need for methods improvement.

1. Greatest workload.
2. Greatest number of workers.
3. Greatest frequency of occurrence.

4. Poor quality work.
5. Work backlogs.
6. Work delays.
7. Unsafe work conditions.
8. Complex work.
9. Low employee morale.

C. Pattern for improving job methods.

1. Break the job down (job analysis).
  - (a) Complete breakdown into details (everything that is done).
2. Question every detail.
  - (a) Why is a detail necessary.
  - (b) What is its purpose.
  - (c) Where should it be done.
  - (d) When should it be done.
  - (e) Who is best qualified to do it.
  - (f) How is the best way to do it.
3. Determine desired actions.
  - (a) Eliminate unnecessary work.
  - (b) Combine steps when practical.
  - (c) Rearrange steps for better sequence.
  - (d) Simplify when practical.
4. Prepare proposed method in necessary detail.
  - (a) Make flow process chart.
5. Points to be covered in preparing the proposal.
  - (a) What the proposal is.
  - (b) What it will do.
  - (c) How it works.
  - (d) What it will save.
  - (e) What it will cost.
  - (f) How it will affect the workers.
  - (g) How it will affect others.
6. Submit proposal for approval.
  - (a) Check with employees to get concurrence.
  - (b) Present to supervisor for approval.
7. Reasons for submitting proposal in writing.
  - (a) To have a record for reference.
  - (b) To submit it through the incentive awards system.
  - (c) To enable the person who first receives it to relay it without change.
  - (d) To make it more understandable for those who must review the proposal for approval.
  - (e) To present a complex change.
  - (f) To assure more thorough review.
8. Put new methods in effect.
  - (a) Make sure all understand who need to know about it.
  - (b) Put new method in effect with as little disruption as possible.
  - (c) Check on how new system works out - make necessary adjustments.

REFERENCES:

1. The Supervision of Personnel - Pfiffner.
2. Management Course for the Air Force Working Leader - How to Appraise Work Methods (AFP 40-10-9).
3. Management Course for the Air Force Working Leader - How to Improve Work Methods (AFP 40-10-10).
4. Management Course for the Air Force Working Leader - How to Develop and Apply Better Work Methods (AFP 40-10-11).
5. Administrative Order 202-334.

Block 10 Supervisory Self-Development Activities

Session 32

Preparation of Personal Self-Development Plan

OBJECTIVE: To assist supervisors in planning for their growth and development in the Department of Commerce.

- A. Why supervisors (actual and potential) need development
  1. To be more effective in present job
    - a. Knowledge
      - (1) Self
      - (2) Job factors
        - (a) Technical
        - (b) Supervisory
      - (3) General
    - b. Insight and understanding
    - c. Skills
      - (1) Planning
      - (2) Solving problems
      - (3) Communicating
      - (4) Appraising performance
      - (5) Conducting conferences
      - (6) Maintaining discipline
    - d. Attitudes and feelings
      - (1) Sensitivity (empathy)
      - (2) Openness
      - (3) Courage to fail
      - (4) Commitment
  2. To prepare for change
    - a. Promotion
      - (1) Increasing potential
      - (2) Showing interest
    - b. Procedures
    - c. Technology
    - d. Work force
    - e. Organizational changes
  3. To develop the whole person
    - a. Live a fuller life
    - b. Conflict?
      - (1) Subordinate's growth vs. difficulty of replacing him on present job
      - (2) Self-actualization vs. agency objectives

- B. Recognizing one's own self-development needs
  - 1. External indications
    - a. Supervisor's performance appraisal
    - b. Problems occurring on the job
    - c. Comments of others on the job
    - d. Sensitivity training sessions
  - 2. Personal self-appraisal (inventory)
    - a. What it is
    - b. Why it is needed
    - c. Completing the self-appraisal exercise (handout)
  
- C. Ways in which self-development can occur
  - 1. Agency career-development programs
  - 2. On-the-job growth
    - a. Enriching existing job
    - b. Details to other jobs
  - 3. Agency "in-house" courses
  - 4. Outside formal education
    - a. Organized classes
    - b. Correspondence courses
  - 5. Reading
    - a. Reading list handout
    - b. Private subscription services
  - 6. Professional society membership
  
- D. Commerce employee development opportunities
  - 1. Upper level executives
    - a. Commerce Executive Seminar
    - b. USCSC Executive Seminars
    - c. Federal Executive Institute
    - d. Other courses and seminars at Colleges and Universities
  - 2. Middle management
    - a. Commerce Managerial Course
    - b. CSC managerial courses
  - 3. First line supervisors
    - a. Contract courses such as that given by Leadership Resources, Inc.
    - b. CSC courses
      - (1) \*Introduction to Supervision
      - (2) Basic Management Techniques I
      - (3) \*The Supervisor in Group Performance
      - (4) Basic Management Techniques II
      - (5) The Supervisor and the Negotiated Agreement
      - (6) Psychology and the Management of Human Resources
      - (7) Sociology of Work
  - \*Also conducted in certain Commerce agencies
  - 4. Technological courses
    - a. Colleges and universities
    - b. Dept. of Agriculture
    - c. In-house
  - 5. General in-house courses
    - a. Effective Listening
    - b. Speed Reading
    - c. Remedial Grammar
    - d. Others

E. Preparing a self-development plan

1. Who should prepare it?
  - a. The organization?
    - (1) Can tailor the plan toward organization objectives'
    - (2) Often not an integrated long-range plan
    - (3) Effectiveness depends on top level support
    - (4) May not be suitable for the particular employee
  - b. The individual?
    - (1) The present trend
    - (2) More suited to the aptitudes and interest of the particular individual employee
    - (3) The planning itself is personal growth
  - c. Immediate supervisor and the individual working together
    - (1) You and your supervisor
    - (2) You and your subordinate
2. How to draft a plan
  - a. Selecting areas of strength or weakness to work on-questions to ask:
    - (1) What do I see myself doing 2 years from now?
    - (2) What do I see myself doing 5 years from now?
    - (3) My supervisor's comments or suggestions
    - (4) Study the self-appraisal exercise sheet
    - (5) What area of improvement is likely to help me the most?
      - (a) May be a strength rather than a weakness
      - (b) Concentrate on one area at a time
  - b. Use an efficient format
  - c. Set realistic target dates
  - d. Follow-through
3. Completing the self-development plan exercise (handout)
4. Encouraging subordinates with their plans

F. Follow-through

1. Review progress
  - a. When
    - (1) Student make note on calendar of assessment date
    - (2) After the annual performance appraisal with supervisor
    - (3) Course administrator mail a reminder
    - (4) Schedule an appraisal at a later stage in the Supervisory Training course
  - b. Student's satisfaction with his implementation progress
    - (1) Complete
    - (2) Moderate
    - (3) Slight
    - (4) None
2. Make necessary changes
  - a. Update
  - b. Modify
  - c. New plan may be desirable

REFERENCES :

1. LRI monograph "The Leader Looks at Self-Development" by Malcolm S. Knowles;
2. "Management-Minded Supervision" (In particular, Chapter 2 "Continual Self-Development") by Bradford B. Boyd;
3. Descriptive material on the agency's own career development program;
4. Booklet entitled "The Executive Library Service;
5. "Self and Service Enrichment through Federal Training", an annex to the report of the presidential task force on career advancement, distributed by the U. S. Civil Service Commission;
6. Book entitled "The Novelist On Organization and Administration", by Dwight Waldo

Session 33

Review, Evaluation of Course and Presentation of Certificates

OBJECTIVE: To provide supervisors a concise course review and obtain their suggestions for course improvement and to present them with certificates concerning successful completion.

- A. Course Review.
- B. Course Evaluation.
- C. Course Certificates.