DOCUMENT RESUME

ED 324 624 CG 022 886

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TITLE Handbook of Administrative Supervision.
INSTITUTION Association for Counselor Education and Supervision, Washington, D. C.
REPORT NO ISBN-1-55620-038-2
PUB DATE 87
NOTE 85p.
AVAILABLE FROM Association for Counselor Education and Supervision, 5999 Stevenson Ave., Alexandria, VA 22304 (Order No. 72193, $9.95).
PUB TYPE Guides - General (050)

EDRS PRICE MF01 Plus Postage. PC Not Available from EDRS.
DESCRIPTORS Accountability; Administration; *Counselors; *Counselor Training; Higher Education; Personnel Evaluation; *Program Development; Program Implementation; *Supervision; *Supervisors

ABSTRACT

This handbook is one of four handbooks developed for preservice and inservice counselor preparation and professional development. It was developed as a practical guide which will provide resources for supervisors to use in the field for enhancing their own skills or for use with other counselors under their supervision. It is also appropriate for use by instructors as a textbook or supplementary material in supervision courses or workshops. This handbook focuses on management issues and strategies for use in graduate level courses and in the field. Topics covered in the text focus on the dual challenge facing administrators: to manage both people and programs effectively. Chapters present relevant literature, offer techniques and strategies for implementing administrative skills, and identify additional resources for the new supervisor. Individual chapters focus on: (1) the transition from counselor to administrator; (2) leadership in supervisory relationships; (3) managing professional staff; (4) conflict and stress in organizations; (5) accountability in performance evaluations; and (6) program planning and implementation. References are included. (NB)

Handbook of Administrative Supervision

ASSOCIATION FOR COUNSELOR EDUCATION AND SUPERVISION

Handbook of Administrative Supervision

Handbook of Administrative Supervision

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A Publication of the
Association for Counselor Education and Supervision
1987

A Division of the
American Association for Counseling and Development
5999 Stevenson Avenue
Alexandria, Virginia 22304

Order No. 72-193

International Standard Book Number 1-55620-038-2

Foreword

Much attention has been given by the Association for Counselor Education and Supervision (ACES) to the curriculum of counselor education training programs, particularly with the recent emphasis on the accreditation process. During their preparation as counselors, students complete either a practicum or internship and in most cases, both. For the faculty member, supervision of counseling practicums and internships/externships requires different skills and processes than the teaching of other courses in the curriculum.

Additionally, many graduates of our counselor education programs move into administrative positions as their careers advance. They may find themselves serving not only as counselors, but also as the director of a high school or college counseling center, director of a community mental health or rehabilitation center, or as a first line supervisor of other counselors within an educational or community setting. Very seldom, however, have counselors received training or course work related to the administrative and supervisory skills they are required to perform.

In order to address these needs, ACES initiated and has continued to support the Supervision Interest Network. A special focus was given when ACES selected "A Spectrum of Supervision" as its 1986-87 theme. The Network has undertaken several projects related to the supervision theme this year. These have included: preparing articles for ACES *Spectrum,* the Association newsletter, completing a summary report on a survey of syllabi for supervision courses, encouraging inclusion of standards for counseling supervisors in licensure laws, and addressing the need for didactic and experiential training in supervision skills as a part of the curriculum of approved programs and counseling sites.

In addition to these activities, a major contribution to the supervision theme has been the development of two handbooks. These two handbooks, entitled *Handbook of Counseling Supervision* and *Handbook of Administrative Supervision,* are intended to be practical guides which will provide resources for counselor educators to use with students in practicum and internship settings in their training programs, and for supervisors to use

in the field for enhancing their own skills or for use with other counselors under their supervision. In addition, the handbooks can be used by instructors as textbooks or supplementary materials in supervision courses or workshops.

I am particularly proud to have had these two handbooks developed during my term of office, and I sincerely hope they are but the beginning of many efforts which will address the issue of counseling and administrative supervision in the coming years. Special mention and accolades should be given to Dr. L. DiAnne Borders and Dr. George Leddick, authors of the *Handbook of Counseling Supervision* and to Dr. Elizabeth Falvey, author of the *Handbook of Administrative Supervision*. These three individuals and others who contributed to the content or editing of the publications deserve special recognition. All of these ACES members have made an extraordinary contribution to their profession and the Association.

Nancy A. Scott, 1986-87 President
Association for Counselor Education and Supervision

Acknowledgments

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Introduction

This handbook was developed to assist educators, students, and new administrators from counseling backgrounds to gain understanding and competency in human services administration. One in a series of projects sponsored by the Association for Counselor Education and Supervision (ACES), the text focuses on management issues and strategies for use in graduate level courses and in the field. While administrative topics are seldom an integral component of counselor training curricula, there is a growing need for information about these roles, as they are becoming reality in the careers of many counselors.

Topics covered in this text focus on the dual challenge facing administrators: to manage both people and programs effectively. Chapters present relevant literature, offer techniques and strategies for implementing administrative skills, and identify additional resources for the new supervisor.

A single source cannot attempt to cover the scope of current knowledge in administration. This handbook is designed to serve as a basic, practical guide for field supervisors, counselor educators, and graduate students seeking supervisory skills.

Chapter 1

Transitions: Counselor to Administrator

While graduates from counselor training programs typically seek positions in direct service, it is predictable that at some point in their careers they will assume administrative positions such as supervisor, staff specialist, guidance department head, or program director. These management positions offer an attractive career ladder for counselors who otherwise would be limited to line staff positions. They often provide higher salaries and status, the opportunity to act as change agents within organizations, and an alternative to the stress of direct service (Feldman, 1980; Patti & Austin, 1978).

Unfortunately, even highly skilled counselors have seldom received any preparation for administration during their preservice or in-service training. This is in sharp contrast to the attention devoted to ensuring competency in their clinical work. A cornerstone of counselor preparation programs is the extended internship, where students have an opportunity to learn under direct supervision of senior practitioners. When these new professionals are subsequently hired, organizations usually provide an orientation period, ongoing supervision, and in-service or continuing education opportunities. Training and evaluation continue throughout employment, focused on improving the counselor's skill as a practitioner (Feldman, 1980).

It is ironic that expertise as a counselor is often the basis for promotion to middle management, yet a parallel training process seldom exists for the new administrator (Lewis & Lewis, 1983; Patti & Austin, 1978; White, 1981). New supervisors instead find themselves immersed in a myriad of tasks for which they have no formal supervision or training. They are responsible for balancing the conflicting and at times mutually exclusive needs of upper management, to whom they are accountable, and line staff whom they now supervise. Identified with neither yet a conduit for both, these administrators

often feel isolated in struggling with issues of loyalty, values, and the proper use of power (Austin, 1981). Job performance may be mediocre after high initial expectations, an experience that is discouraging for the administrator, frustrating for staff, and a serious loss for the organization. Not only have these competent counselors been reassigned, but they have not received training to function as potentially skilled administrators (Feldman, 1980; White, 1981).

The problem becomes more sobering when one recognizes that people trained in direct service constitute the bulk of the middle management pool in most human service organizations (Lewis & Lewis, 1983). While some have argued that counselors are by training and temperament ill-suited for administrative positions, many agree that they have expertise in the critical human relations skills necessary for middle management roles. With training in organizational behavior and management principles, there is growing evidence that counselors can become effective administrators (Austin & Hershey, 1982; Slavin, 1985).

An important aspect of the transition process is the ability of a new administrator to adopt values and an ethical framework compatible with management. The impact of values on leadership, decision-making, and communication is receiving increased attention as a major factor in administrative effectiveness (Levy, 1985; Naisbitt, 1982; Peters & Waterman, 1982).

Administrators promoted from direct service benefit, in particular, by attention to distinctions between the value systems of practitioners and managers. These distinctions make the transition from clinician to supervisor challenging, but can ultimately lead to a sensitive perspective on the priorities and resulting behaviors of both groups.

What Makes Organizations Tick?

What are the beliefs and values that underlie behavior in an organization? Administrators often have a hard time articulating these, yet values in large part determine what information is considered in decision-making and how communication takes place. Values reflect a "valuing process" by which individuals perceive right and wrong, good and bad, what they are for or against (Beck & Hillmar, 1986; Patti & Austin, 1978). Values also provide a framework for ethical standards to guide behavior within an organization.

An organization's *explicit* values are evident in policy statements, personnel structure, performance evaluation methods, program planning procedures—virtually every aspect of daily operations. A set of *implicit* or hidden values may also be seen in the informal distribution of power, authority, and responsibility at various levels of the organization (Beck & Hillmar, 1986; Stewart, 1984). For example, who are the key figures in decision-making? Where are the most accessible channels of communication? How do hours of operation and actual budget allocations relate to the stated mission?

Middle managers are particularly effected by these explicit and implicit values, since they must respond to both upper management and line staff. Far from being merely a philosophical exercise, solid understanding of an organization's values provides clarity and direction to daily operating policies.

Value Conflicts for New Administrators

Supervisors moving from the ranks of direct service face predictable conflicts in reconciling beliefs they held as a counselor with the values inherent to management (Feldman, 1980; White, 1981). A critical step toward making this transition comes with awareness of several important differences in the values within which each profession operates. Further discussion of the following distinctions may be found in Feldman (1980), Lewis and Lewis (1983), Patti and Austin (1978), and White (1981).

Decision-making. How one arrives at decisions is central to the work of human services. Counselors are characteristically oriented to the specific needs of their clients. They perceive themselves and the organization to be responsible for providing maximum service to the individual. Counselors often serve as advocates for clients within the organization and among family, school and community. Decisions are made with an emphasis on ensuring client access to the best possible treatment.

Administrators have somewhat different priorities in the decision process. Focusing on maintenance of the organization as a whole, they view specific client needs in the context of the larger system. Best possible treatment for the individual becomes subsumed under the most workable solution given a large clientele and limited resources. Thus, from an administrative perspective, it may be necessary to restrict desirable aspects of individual treatment (e.g., longterm therapy) in order to provide a broader range of service to the community.

Autonomy. Counselors bear some degree of responsibility for the welfare of their clients. They also typically operate with the autonomy and authority to act on this responsibility. That is, when responding to crises, consulting on difficult cases, or working with schools, the counselor has significant input into decisions regarding his or her client.

Administrators are often less fortunate. While assigned a variety of responsibilities, all too often they are not given the authority to carry out tasks adequately. Thus, the supervisor charged with implementing a crisis management policy may find that other administrators have control over the budget, personnel schedules, and facilities needed to manage such a program. Responsibility without authority is a dilemma that supervisors must constantly be alert to in their interdependent roles.

Collegial Relationships. Counselors are trained to develop relationships in which open communication is valued. Sharing of information and personal feedback are seen as ways to facilitate growth. Interactions based on trust are central to counseling approaches, couched in terms such as rapport or

therapeutic alliance. In the workplace, open communication is sought through informal support networks, requests for participatory leadership, and attention to group process issues in staff meetings.

Administrators, while perhaps valuing open communication, quickly learn that it does not always facilitate achieving their goals. Middle managers characteristically find themselves competing with peers for scarce resources, and evaluating their staff's work performance. Both of these tasks tend to foster functional, restrained dialogue rather than open communication. Supervisors consistently report that competition, isolation and the loss of collegiality are major difficulties encountered in the transition from direct service to middle management.

Exercise of Authority. Perhaps nowhere is the transition to administration more difficult than in coming to terms with the use of authority. Counselors are trained to work independently and minimize overt uses of power in relationships with clients. Any "authority" derives from one's expertise in helping clients resolve their concerns, whereas directly controlling client behavior is viewed as immoral, unethical, and in some cases illegal. Professional practice guidelines emphasize such client rights as informed consent and confidentiality to safeguard against inappropriate uses of power in counseling relationships.

The counselor-turned-administrator is thus likely to feel conflicted in situations that require the use of direct authority to ensure compliance from staff. Such situations are inevitable, however, in any supervisory position. Collaborative decisions are not always possible when implementing new policies. Staff evaluation (with related judgments about training, retention or salary) is a factor of organizational life. Budget cuts may necessitate reducing support services to staff. Each of these situations requires critical judgment and, when necessary, the use of authority to direct staff operations for which the supervisor is accountable.

A particularly stressful aspect of authority among those who are promoted 'from the ranks' comes with supervising former peers. Friendships become strained, and loyalty or guilt can seriously impede sound management decisions. Levinson (1964) presents a useful discussion of potential conflicts in this situation, with specific guidelines for competent supervision of former peers.

Articulating Managerial Values

It is important for the new administrator to clarify personal and organizational values, remaining sensitive to implications of these beliefs for supervisory behavior. Values clarification exercises are useful ways of identifying priorities, and can be particularly effective when completed with a peer group of middle managers.

Austin (1978) and Beck and Hillmar (1986) describe several values clarification procedures requiring no formal facilitator. These methods include identifying a list of "value" words (e.g., trust, money, productivity, autonomy, competence, security) and agreed upon definitions of these

words. Individuals rank order the list according to their own priorities, subsequently discussing reasons for their rankings and the implications for policy decisions. These discussions may or may not lead to a group consensus of priority values, but do facilitate understanding among colleagues. Ultimately such exercises can lead to the articulation of an organization's administrative perspectives and direction (Beck & Hillmar, 1986).

Ethical Issues Facing Supervisors

Whereas values reflect broad attitudes and beliefs, ethics provide specific principles to guide behavior in the workplace. Although each human service specialty has its own set of ethical standards, the ethics of management go beyond direct service provision to encompass the internal bureaucracy of organizations. Several aspects of administration test the ethical fortitude of even the best manager, and will be reviewed briefly. More comprehensive discussion of these issues may be found in Bayer, Feldman, and Reich (1981), Levy (1985), and Stewart (1984).

Client Welfare. Management decisions should be approached with the priority goal of serving clients, as that is the basis for the existence of any human service organization. Middle managers are ethically bound to use the most valid and reliable indices of client needs in making program decisions. This holds true even when that information may point to limitations in the system. For example, staff expertise in providing individual counseling must be weighed against the potential need for more group or family treatment when waiting lists become excessive.

Protecting the confidentiality of client records is another important ethical responsiblity of administrators. Evaluation teams often request access to client files, and clerical staff may need certain information for billing or accounting purposes. Increased computerization of records compounds the potential for inappropriate release of confidential client data. Policies for limiting access to records on a "need to know" basis, and protecting client rights to informed consent, are important ethical tasks of the management team.

Staff supervision. Predictably hectic schedules in human service settings may challenge an organization's commitment to providing supervision. In well-intentioned efforts to maximize direct service, staff schedules may be crowded with appointments, leaving little supervisory time to reflect upon this work. Less laudible reasons for inadequate supervision include a lack of budgeted funds or qualified senior clinicians to provide this service.

Effective managers recognize the need for ongoing clinical supervision to ensure individual competence and organizational accountability. Ideally they serve as advocates for staff in hiring high quality supervisors. Frequently, however, the human service manager is expected to provide both clinical and administrative supervision to staff. This presents an ethical dilemma. Merging supervisory and evaluative roles tends to magnify issues of trust, dependency, and authority (Feldman, 1980; Fatti & Austin, 1978). Rather

than a forum for genuine reflection on one's clinical work, supervisory sessions may threaten staff such that they defend their performance or avoid case review altogether by focusing on administrative issues.

It is therefore recommended that organizations differentiate clinical from administrative aspects of supervision. This is best accomplished by having different individuals carry out these functions. Where that is not feasible, managers should at least separate clinical from administrative supervision meetings, and process staff reactions to this potential role conflict.

Labor-management relations. Employees in any organization enter into a contract to provide labor (services) in exchange for salary and benefits. However, staff are at a disadvantage in this contract when management controls both the work and benefits in a competitive job market. Compounding this, directors are invariably under pressure from boards or funding agencies to cut costs while providing more services. The end result is a temptation for administrators to use their authority to ensure agency survival at the expense of equitable staff treatment.

These pressures can result in exploitative practices such as inordinately low pay scales, lack of adequate case supervision, paperwork bureaucracies that supercede service delivery, or discrimination against client groups based on diagnosis, income, or demographic variables. Supervisors have an ethical responsiblity to ensure that such practices do not occur or, if they do, report them to state ethical boards and funding bodies.

Managing Money and Resources. Fiscal transactions and the allocation of resources in human service settings are managerial tasks requiring conscientious, ethical decisions. Familiarity with material costs and basic financial accounting procedures are competencies needed by supervisors with fiscal responsibility.

Beyond having specific skills, the ability to make sound fiscal decisions demands personal rectitude. Administrators have little autonomy and a great deal of accountability in many settings. This makes them targets for internal politics by colleagues seeking their own personal or organizational goals (Bayer, Feldman & Reich, 1981; Levy, 1985). Money, like power, seems able to tempt even the most well-intentioned. For example, hiring new staff, *and* at salaries budgeted for, is a continuing personnel issue. Allocating resources to departments by documented need rather than under pressure may be unpopular, but is clearly ethical. Maintaining ethical priorities amid dual pressures to conserve funds yet provide adequate services to clients is a constant supervisory challenge.

Community Interface. Even financially independent agencies are not institutionally autonomous; they exist within a social context which has some bearing on their mission. Consumer groups and government agencies interact with human service organizations to meet social and political goals. Administrators must be responsive and ethical in addressing these community agents, a task made more difficult when the organization relies upon local interest groups for funding. Careful, apolitical management decisions are needed in response to community issues. Examples include

staffing to best serve the demographic mix of a community (e.g., age, sex, ethnic group, socioeconomic level), and planning activities to avoid duplication of other local efforts.

Toward Successful Transitions

The above discussion points to many challenges facing the counselor negotiating a transition to administration. These are, nonetheless, balanced by potential attributes counselors bring to management positions (Austin, 1981; White, 1981). They retain empathy for staff concerns from their history in those positions. Since promotions typically follow demonstrated competence in direct service, such counselors have developed sound clinical judgment and professional maturity. Perhaps most importantly, they possess the human relations training and communication skills recognized as critical to effective leadership (Beck & Hillmar, 1986).

There are a variety of ways in which counselors can help themselves anticipate and plan for the transition to supervisory positions. Like other life transitions, this process often takes from one to three years. White (1981) and Parker and Lewis (1981) make specific recommendations for the new administrator which are summarized below.

1. Request an orientation period—if it is not set up in advance, request a period of several weeks to review organizational policies, talk with middle and upper management personnel, and observe daily activities of all departments in the organization.

2. Identify a mentor— seek out an experienced manager to meet with on a regular basis to discuss thoughts, feelings, conflicts and ideas as a new administrator. This person may be a supervisor, colleague, or someone outside of the organization whom you respect and trust. These meetings can be invaluable in maintaining a realistic perspective on the problems and possibilities of administration.

3. Form a core staff—new managers often inherit old intraorganizational loyalties of existing staff. This history can and does effect how the new manager is perceived. Efforts to implement ideas and programs are enhanced as the manager gradually selects and/or hires staff with whom she or he can work effectively. This takes time and patience, since resistance to change is a natural aspect of organizational life.

4. Develop rapport with the boss—a major predictor of successful transitions to administration is the extent to which one can establish a good working relationship with his or her immediate superior. This includes basic trust and respect, negotiating boundaries of autonomy and authority, and clear understanding of what each individual expects

from the other. Regular and frequent meetings should be scheduled between new administrator and direct supervisor during at least the first year of the transition period.

5. Seek out training—organizations should support initiatives of new managers to educate themselves in the art and technology of management. Numerous courses, seminars and workshops abound that can provide insight and skills in management tasks. Training should be negotiated as part of the job description of a new administrator.

6. Obtain feedback—assuming a new role brings with it uncertainty, anxiety, and inevitable mistakes. New administrators need constructive feedback on their performance in order to develop a framework for competency in this role. Staff, peers and superiors can be rich resources for information, encouragement and helpful feedback. Denial or avoidance to protect feelings of insecurity, while sometimes temporarily soothing, ultimately does not work. Requesting feedback helps the new manager grasp realities of the task and facilitates communication among colleagues.

Summary: Transition as an Evolutionary Process

Administrative positions in human service organizations provide valuable opportunities for counselors to broaden their careers. They also represent a significant role transition for which clinicians are seldom prepared. Distinctions between the value systems of practitioners and administrators are reviewed in this chapter. The need to clarify personal values and wrestle with their implications for management are important tasks in the transition to administration.

Ethical responsibilities tested in the sociopolitical arena of management include client welfare, staff supervision, labor-management relations, fiscal decision-making, and operating within the larger community context. These issues encourage the administrator to view management as an interdependent system responsive to staff, sponsors, and the community as well as to clients.

Promotion to an administrative position is an event. However, the acquisition of administrative values and skills reflects a process which occurs over time, bringing with it predictable challenges. A number of suggestions are offered for helping new administrators anticipate and cope with this transition process. Figure 1 identifies some of the critical traits of effective administration, and may be used as a self-assessment of the new supervisor's training needs.

Figure 1. Management Skills Self-Assessment Inventory

	Adequate	Need to do more	Need to do less
Communication and Creativity			
1. Effective verbal communicator.			
2. Use nonverbal cues effectively.			
3. Able to handle constructive criticism.			
4. Able to relieve tension when needed.			
5. Generate new and/or creative ideas.			
6. Sensitive to the needs of others.			
Management of Self			
7. Take calculated, defensible risks.			
8. Demonstrate leadership in work group.			
9. Take initiative to influence events.			
10. Committed to high standards for work.			
11. Explore ideas until achieved or rejected.			
12. Tolerate uncertainty.			
13. Handle stress effectively.			
14. Deal with frustrations of group problem-solving.			
15. Decisive in making decisions under time constraints.			
16. Attentive to relevant details of tasks.			
17. Assertive group participant.			
Peer Relationships			
18. Use peer approval effectively.			
19. Appreciate and respond to peer needs.			
20. Tolerate different problem-solving styles.			
21. Seek peer input in group decision-making.			
22. Able to comply with peer suggestions.			
23. Help groups assess their effectiveness.			
24. Promote sufficient informality to maintain group morale and productivity.			
Administrative Functioning			
25. Able to plan and organize work effectively.			
26. Able to seek out and evaluate information.			
27. Able to negotiate differences of opinion.			
28. Able to foresee consequences of decisions.			
29. Demonstrate good decision-making skills.			
30. Defer action until all information and opinions are determined.			
31. Carry out tasks in an orderly fashion.			
32. Appreciate the need for controls and accountability.			

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Chapter 2

Leadership in Supervisory Relationships

A major responsibility of middle management comes with the role of being a leader. This generally includes hiring and evaluating staff, supervision and staff training, and ensuring that policies of the organization are implemented successfully. Leadership can be alternately viewed as a function of *position* (job description and roles), *person* (unique traits and attitudes) or *process* (decision-making and communication style).

The new supervisor is often unfamiliar with the role of leader and, as a former counselor, may be uncomfortable with issues of authority in dealing with colleagues (Austin, 1981). Conducting staff meetings, handling conflicts, and managing competing demands on time and resources can become painful struggles. A critical challenge in making the transition from practitioner to administrator is gaining self-awareness and skill in supervisory leadership.

What Constitutes an Effective Leader?

Numerous theories have been investigated in attempts to identify the traits, behaviors, or situations which characterize effective leadership. Research on *personality traits* has failed to provide a profile of the effective leader, although moderate correlations have been found between self-assurance, sociability, intelligence, initiative, and leadership ability (Ghiselli, 1971; Stogdill, 1974). Researchers currently suggest that personality factors interact significantly with specific situations, and thus cannot be usefully isolated (Blake & Mouton, 1982; House & Mitchell, 1980).

Research addressing *leadership style* has identified two independent behavioral dimensions of leadership: *task-oriented* behaviors directed at accomplishing work goals, and *maintenance* behaviors which focus on

enhancing morale, respect and trust in the workplace (Hersey & Blanchard, 1982; Stogdill, 1974). Numerous studies over the past three decades concur that maintenance behaviors on the part of a leader do consistently predict worker satisfaction, and that no clear relationship exists between either of these leadership dimensions and worker performance. This suggests that leaders can act in ways to directly improve worker attitudes, but that this will not necessarily enhance work performance (Fiedler, Chemmers, & Maher, 1976; Herzberg, 1975).

Equivocal findings from research on leadership traits and styles have led researchers to propose that it is not personality or behavior *per se*, but rather their interaction with situational factors that accounts for variations in leader effectiveness. Current *situational models* provide evidence that various traits and behaviors are differentially effective, depending upon the context in which they occur. Factors such as worker motivation, ability, time pressure, stress in the work environment, and perceived expertness of a supervisor appear to have implications for effective leadership (Fiedler et al., 1976; Hersey & Blanchard, 1982; House & Mitchell, 1980; Vroom & Yetton, 1973).

For the new supervisor, the question of leadership translates into such pragmatic issues as how to run staff meetings, provide staff training, evaluate job performance, and arbitrate the inevitable conflicts that arise in the workplace. This chapter reviews leadership approaches and their implications across various work environments. How leader behaviors can be applied to specific management tasks is addressed in subsequent chapters.

Managerial Styles and Behaviors

Given that leadership style differs in effectiveness across situations, it becomes important to have an awareness of one's personal style and its impact on staff. Supervisors tend toward a consistent way of interacting with staff, which has been alternately characterized as Theory X vs. Theory Y (McGregor, 1966), task centered vs. process-centered (Blake & Mouton, 1982), or autocratic vs. democratic (Stogdill 1974). Behavior can be loosely grouped under these approaches along a continuum of leader-centered to person-centered supervisory practices (Tannenbaum & Schmidt, 1973).

At one end of the continuum, Theory X proposes that people inherently dislike work and seek to avoid it whenever possible. The average employee is characterized as preferring to be led rather than taking initiative, lacking intrinsic motivation to work, and having poor decision-making ability. Workers are viewed as needing close supervision to ensure productivity, and as motivated primarily by job security and economic rewards (McGregor, 1966).

Theory X supervisors tend to rely on centralized, unilateral decision-making. Behaviorally they can be expected to use direct authority to influence staff, to conduct frequent and efficient staff meetings, to closely

monitor staff activities, and to use tangible rewards as motivators. Task accomplishment and an autocratic supervisory style are prominent emphases in Theory X leadership behaviors.

Theory Y, in contrast, proposes that work is a desired expression of creativity and responsibility. The average employee is thought to be motivated more by the challenge of accomplishing work objectives to which they are committed than by economic rewards. The capacity to make decisions and exert self-control in the workplace are seen as readily learned behaviors (McGregor, 1966).

Theory Y supervisors tend toward participatory management and favor decision-making by consensus. Behaviorally they would demonstrate a collaborative style, seeking staff input on most decisions. These supervisors would be less likely to monitor daily activities, expecting staff to be intrinsically motivated to work and to learn from their mistakes. Theory Y leaders could be expected to focus on group process in staff meetings. Maintaining a positive interpersonal environment and a democratic supervisory style are prominent emphases in Theory Y leadership behaviors.

Situational Diagnosis for Flexible Leadership

Clearly, most administrators fall somewhere between these caricatures, and in fact they are not polar opposites. While human service professionals tend to value a Theory Y philosophy, research to date suggests that specific work environments respond differentially to leadership styles at various points along this continuum. The most effective leaders appear to be those who can flexibly adapt their behavior to suite the demands of the staff and the situation at hand (Austin, 1981; Carew, Parisi-Carew, & Blanchard, 1986; White, 1981).

For example, Fiedler's (1967) Contingency Leadership Model proposes that when situations are *either* extremely favorable or adverse for the leader (measured in terms of task structure, leader-staff relations, and position power), a "psychologically distant" management style is most effective. In more moderate situations, a "psychologically close" leadership approach is favored.

In a similar vein, Hersey and Blanchard's (1982) Situational Leadership Model suggests that participatory leadership is less than effective in tasks where workers have low ability and poor "task maturity" (e.g., ability and skills to pursue high yet attainable goals). In these situations, which differ across tasks as well as among workers, a more directive approach is needed (Hersey & Blanchard, 1982). Four leadership styles identified as *directing, coaching, supporting,* and *delegating* emerged from this Model and are considered differentially effective at specific levels of group development (Carew et al., 1986).

The Path-Goal Leadership Theory developed by House and Mitchell (1980) concludes that task-oriented leader behaviors are more effective when tasks are unstructured or the environment is stressed, while maintenance behaviors become important when work is tedious or uninteresting.

Diagnosing the task and the ability of staff in a given context are thus seen as important considerations in choosing specific leadership behaviors (House & Mitchell, 1980).

From these studies on leader by situation interactions, it becomes possible to generate some general guidelines to help supervisors balance their responsibility to get the job done (task functions) with the equally important charge of responding to the needs of staff (maintenance functions).

Task functions seem to be most effective when (a) staff are untrained, (b) work tasks are unstructured or ambiguous, and (c) the work environment is stressed or endangered by crisis. These situations have in common a need to structure or stabilize the job environment. Task functions include supervisory activities such as role clarification, case assignment and review, policy implementation, staff training, and performance or program evaluations.

Maintenance functions become proportionally more effective when (a) staff are highly skilled, (b) work is well organized, (c) the environment is stable, and (d) tasks are repetitive or tedious. In these instances, the task has lost its novelty or intrinsic reward and staff are in danger of "burnout" without active support and communication from supervisors. Maintenance functions include activities related to improving job benefits and working conditions, enhancing group cohesiveness, increasing staff motivation, and encouraging participatory decision-making.

Further dimensions of leadership, and their implications for staff morale and productivity, will be examined in relation to what is known about motivating employees in the workplace.

Motivating Staff

Given that leadership is an influence process, it becomes important for the new administrator to understand what motivates or influences people. A number of theories have been proposed to account for worker motivation.

Maslow's (1954) study of the healthy personality led him to postulate a hierarchy of prepotent needs thought to motivate individuals. Lower order needs (survival, safety and security, belongingness) are believed to dominate behavior until they are reasonably met, after which higher order needs (esteem, status, self-actualization) serve as primary motivators (Maslow, 1954). In terms of the workplace, this suggests that traditional rewards such as money and job security have limited influence to motivate those workers who are seeking higher order needs (e.g., autonomy, creativity).

Herzberg's (1975) Two-factor Theory of motivation distinguishes between *maintenance factors* relating to job dissatisfaction (e.g., salary, job security, working conditions) and *motivator factors* which lead to increased satisfaction and productivity (e.g., job content, achievement, responsibility, recognition). According to this theory, maintenance factors *do not* motivate staff to produce more, a challenge to traditional supervisory practices.

Instead, job enrichment programs are recommended to increase intrinsic rewards of work that seem related to productivity and advancement (Herzberg, 1975).

Vroom and Yetton (1973) propose at least five possible levels of staff participation in organizational decision-making, concluding that the choice of autocratic vs. participatory leadership should be contingent upon the type of response needed from staff. Their research concluded that participatory decision-making motivates workers effectively when (a) time pressure is not a factor, (b) staff have relevant information and experience, and (c) acceptance of a decision by staff is crucial and cannot be gained through an autocratic approach (Vroom & Yetton, 1973).

While none of these theories has gained universal acceptance in the management literature, they collectively support a reexamination of traditional thought on how to motivate staff. Significantly, all conclude that money is not a primary motivator in many work settings. Although salary is frequently ranked by administrators as the major index of job satisfaction, factors such as achievement, recognition, responsibility, and opportunity for advancement are consistently ranked higher by staff (Scholom & Perlman, 1979; White, 1981). One readily sees that it can be poor management practice for supervisors to "reward" staff solely by pay raises without increasing the scope or responsibility of their positions.

In human services, money is seldom a powerful motivator simply because salaries tend to be moderate at best. Counselors do not enter the field with a primary goal of making money, and administrators cannot offer large raises due to budgetary constraints. What counselors *do* need is recognition for their work, support to improve their competency, and enjoyment in their work environment (Scholom & Perlman, 1979).

How can supervisors motivate staff effectively by providing rewarding work experiences for them, and yet maintain performance standards of the organization? Cumulative research suggests some general strategies (Beck & Hillmar, 1986; Lewis & Lewis, 1983):

Role clarification—job descriptions and responsibilities should be in writing, clearly understood by the individual staff member and by others in the organization. This helps to minimize vague, excessive or inappropriate demands being placed on workers.

Task Variety—expanding professional skills offers both stimulation and challenge to staff. This might include rotating assignments (e.g., running groups), providing opportunities for collaboration (e.g., periodic co-therapy), or encouraging staff in community outreach efforts (e.g., writing for local papers).

Task Identity—job satisfaction is often increased when staff have an opportunity to carry out all aspects of a task. In human services this could entail team staffing of family cases, the assignment of primary counselors to follow specific clients throughout treatment, or developing a follow-up program to track former clients.

Supervision as a Priority—direct service is distinct in that clinicians use themselves as the instrument to bring about change. This is a difficult task. Administrators who recognize the need for ongoing clinical as well as administrative supervision demonstrate sensitivity to this process. When staff know they have a competent supervisor with whom to review cases, they feel recognized and appreciated for their work.

Training Opportunities—in-service or external training often infuses staff with new ideas and enthusiasm for their work. Organizations should have a budget and equitable policy for assisting staff to attend conferences and workshops, take work-related courses, and hire in-service speakers for professional training.

Participatory Management—people are more invested in decisions into which they have had input. While administrative decisions do not always lend themselves to this process, many aspects of organizational policy and procedures can benefit from staff involvement. Forming informal study committees, routing meeting agendas ahead of time for input, and including all levels of staff in major management decisions are helpful ways to draw upon human resources in participatory decision-making.

Modeling Attitudes and Behaviors—employees tend to respond to a supervisor's behavior more than written policies or formal directives. Actions, nonverbal behavior, and perceived relationships between the supervisor and top administration are powerful sources of staff motivation (or lack of it). To encourage task completion, supervisors should ensure that their own work is up to dat To facilitate teambuilding, supervisors need to demonstrate their ability to work with upper management. Leadership behavior that is consistent with the message is a primary factor in motivating others.

Clear Communication—breakdowns in communication are common in organizations, often leading to conflict, impaired services to clients, and a decrease in staff morale. Frequent informal communication and regularly scheduled staff meetings are ways in which supervisors can increase communication within their department. Honest, direct communication with staff will increase trust and build positive motivation. Basic skills central to effective counseling (listening, clarifying, reflecting, confronting) are great assets to the counselor-turned-supervisor in facilitating communication among staff.

Time Out and Time Off—having a designated staff lounge where clinicians can congregate between appointments promotes colleagueship and a sense of community within the organization. This can decrease the sense of isolation common among counselors who primarily see individual clients. Adequate time off (sick days, leave, holidays, 'mental health' days) encourages staff to set limits in a stressful occupation. This both rejuvenates the individual and reduces the risk of conflict among irritable, over-worked staff.

Summary: Leadership as Interaction

Leadership has been a topic of intense research interest for the past fifty years. Efforts to identify characteristics of effective leaders now conclude that complex interactions between person and situation determine the impact of leader behaviors. This chapter reviews major leadership styles and behaviors, with implications for their effectiveness in specific contexts.

Motivating staff is an important corollary of administrative leadership. Major theories and research yield some practical guidelines for motivating professional staff. They include role clarification, task identity and variety, training opportunities, participatory decision-making, and clear communication channels. These strategies are reviewed, with examples of how they might be implemented in human service organizations.

Leadership may thus be viewed as a matrix of interdependent relationships: between the individual and his or her beliefs, between supervisor and staff members, and between tasks and human resources. Given training in the tasks of administration, and having a grounding in human relations, counselors have potential to evolve as highly effective leaders within an organization.

Chapter 3

Managing Professional Staff

Professionals in human services are motivated by an interest in people. As staff they tend to be highly sensitive to the interpersonal context of their work environment as well as to the problems of their clients. The counselor-turned-supervisor is thus well served by his or her training in human relations to provide the balance of supportive, administrative and educational leadership needed to supervise these staff effectively (Kadushin, 1976). The next two chapters cover common administrative functions in which human relations skills are paramount: hiring and orienting new staff, conducting meetings, staff training, conflict resolution, and stress management in the workplace.

Hiring and Orienting Staff

Supervisors often have responsibility for hiring and training staff in their department. Alarmingly high turnover rates in many human services settings attest to the failure of many organizations to adequately prepare middle managers for these roles. This oversight continues despite research concluding that job satisfaction and retention are directly related to the quality of administrative supervision (Barber, 1986).

Staff attrition is costly to an organization for a variety of reasons. Loss of a skilled employee takes time and resources to replace. It may increase the workload of other staff disproportionate to their job descriptions or expectations. Morale often suffers when staff experience a lack of cohesiveness. Finally, attrition can reduce the quality or continuity of services to the community (Abels & Murphy, 1981; Barber, 1986). Supervisors who hire, train, and retain competent staff thus provide leadership to the organization in significant ways.

Affirmative Action in Hiring. Awareness of federal and state legislation governing personnel practices is an important first step in hiring staff. The Civil Rights Act of 1964 prohibits discrimination in hiring or promotion on the basis of race, color, religion, sex, pregnancy, or national origin. This landmark legislation is further supplemented by Federal acts barring discrimination in pay (1963), age (1967), sex (1968), or handicap (1974) (Buttrick, 1985; Lewis & Lewis, 1983). Many states have also enacted legislation to protect the rights of employees from discriminatory practice.

Federal legislation is enforced by the Equal Employment Opportunity Commission (EEOC), which can initiate court action against an employer alleged to use discriminatory practices. Affirmative Action Programs go beyond EEO laws in expecting employers to make an extra effort to hire and promote those traditionally discriminated against; primarily minorities and females (Russell, 1984). These guidelines apply to all organizations receiving federal funds, and augment standards set by professional associations regarding supervisory behavior. Administrators thus have legal as well as ethical mandates to ensure that policies regarding hiring, promotion, and staff appraisal are equitable (Buttrick, 1985; Lovell, 1985).

Matching the Job to the Task. Staff selection actually begins long before advertisements are placed. The obvious first step is identifying the need for additional staff. This decision takes into account (a) current job responsibilities, (b) existing human resources, (c) evidence of need for a new staff member, and (d) organizational context of the proposed new position (Lewis & Lewis, 1983).

Once it is clear that a new position will be filled, there should be careful attention given to both the *job* (i.e., range of activities to be performed) and *role* (i.e., how this position interfaces with other staff and the organizational mission) (Beck & Hillmar, 1986). A clear job description is crucial in defining responsibilities of the position. It should consist of behavioral statements that describe specific worker tasks, avoiding global adjectives or value judgments (Goldstein, 1986). Two methods for developing task statements and performance standards are presented in Chapter 5.

Role Clarification. Defining roles helps people understand what is expected of them in terms of performance and commitment. This awareness encourages staff to recognize their contribution to the organization as a whole and to participate in informed participatory management (Nash, 1983). In anticipation of hiring a new professional, it is important to consider what his/her role within the organization and among existing staff will be. Beck and Hillmar (1986) provide a series of questions to aid supervisors with role clarification. These questions lend themselves to staff input within a small group problem-solving atmosphere:

1. Boundaries—where does responsibility of the worker, between worker and supervisor, and across work groups start and stop?

2. Task accountability—beyond a list of individual job tasks (performance), what is supposed to happen as a result of the activities of the worker (outcome)?

3. Issue diagnosis—to improve personal effectiveness or provide feedback to colleagues, what does each staff member want (a) more of, (b) less of, or (c) continued at present levels?

4. Coordinating efforts—which staff have what specific responsibilities to initiate action, ensure that tasks are accomplished, approve actions, provide logistical support or resources, and give feedback on outcomes?

Interviewing Candidates. Once the job description and role are clarified, a position is advertised and candidates are interviewed from the pool of applicants. Initial screening is often delegated to staff search committees for review of applicant resumes and work experiences. Careful description of the position and qualifications in advertising speeds up the hiring process by minimizing inappropriate applications.

Personal interviews represent an important screening to match characteristics of the top candidates with requirements for effective performance in a position (Melville, 1977). Research suggests, however, that hiring decisions based on interviews are susceptible to many problems. These include low reliability across interviewers, the tendency to disregard information that counters first impressions, and judgments based on superficial characteristics that are unrelated to job success (Dipboye, Arvey, & Terpstra, 1976). To reduce subjectivity of this process, it is recommended that interested *staff be involved in* interviews, that *resumes be circulated* prior to each interview, and that a *standard interview format* be used to gather relevant information from all applicants (Russell, 1984). Where feasible, it is also valuable to *replicate actual work conditions* in some part of the interview. This might include having candidates interview a coached client or respond to a simulated case. Of equal importance is the need to *contact references* of final candidates following the interview (Melville, 1977). This can be done by letter or pre-arranged telephone contact, and provides valuable feedback about the candidate/s skills, work history, and professional relationships.

It is important to inform staff of who has the ultimate decision-making power in hiring new staff. This helps to avoid unrealistic expectations and subsequent disappointments that can undermine staff morale (Melville, 1977). Usually, final hiring decisions are made by management with the recommendations of staff considered. Questions to be discussed in making this final selection include the following (Russell, 1984):

Does the candidate have work experience and skills relevant to this position and organizational context?

Does the candidate appear to fit the position and be enthusiastic about it, or is s/he "settling" for it?

Does the candidate have personal attributes that are needed for successful performance in this position?

Does your supervisory style appear compatible with the candidate's goals and personality?

How do staff respond to the applicant as a potential colleague?

It is both courteous and professional to respond to all applicants in writing regarding the outcome of the selection process. Supervisors may wish to keep resumes of qualified candidates on file in the event of future openings.

Staff Orientation. Competent supervisory relationships begin with letting employees know what is expected of them at all levels of the organization. This is most effectively initiated during new staff orientation. Many organizations develop an employee handbook in which the following information is presented, with the first few supervisory sessions devoted to review of this material:

1. Statement of mission and philosophy—why the organization exists, who it serves, and its beliefs about how to provide the best services to clients.

2. Organizational structure—a description of departments and the interrelationships among various work units. If relevant, a flowchart depicting the chain of command and decision-making authority.

3. Policies and procedures—operational policies pertaining to staff and clients. Typically this cover hours of operation, record keeping, use of space and facilities, support services, hiring and promotion criteria, job classifications, salary and benefits, personnel records, emergency procedures, and professional/ethical standards.

4. Job description—a statement of qualifications,responsibilities and authority of this staff member. It is helpful to provide a staff file containing job descriptions of all employees.

5. Performance review and appraisal—clarification of the standards, frequency, and procedures for staff evaluations. This should include specific criteria by which performance will be evaluated.

Conducting Productive Staff Meetings

Meetings are an integral component of organizations. They serve a number of functions including the exchange of information, coordination of activities among various programs and personnel, problem-solving and decision-making, and implementation of organizational change (Resnick, 1982; Sitcoff, 1984). Staff meetings are typically held on a regular basis and have consistent membership. As such, they evolve with the dynamics, phases and conflicts inherent to any group. Recognizing this, the former counselor can usefully adapt group process models to conduct productive supervisory or staff meetings. Several such models are presented by Austin (1981), Jay (1976), Resnick (1982) and Nicoll (1984), having in common the following characteristics:

Preparation. Meetings are seldom effective without some planning. While often initiated by the supervisor, planning should include all those who will attend to avoid resentment on the part of staff that meetings are something done *to* staff *by* administrators. Preparing for a meeting includes identifying its purpose and agenda by answering questions such as the following:

1. What is the meeting designed to accomplish? Setting clear objectives and eliminating information that can readily be circulated by memo will reduce the cost and frustration of "wasted time". Clarifying the purpose of a meeting determines how it will be run as well as its pace (see Figure 2).

2. How will these objectives be accomplished? A critical aspect of effective planning is setting an agenda for the meeting. Topics can be identified as informational, discussion, or decision items. A draft agenda should be circulated several days prior to the meeting for staff to review and add items.

3. In what order will items be addressed? Prioritizing final agenda items helps ensure that sufficient time is allotted to major issues. It is often effective to raise high interest items halfway through a meeting (when attention might otherwise lag), and to end the meeting with items that tend to unify the group.

4. What resources will help discussion or decision-making? Staff are rightfully frustrated when asked to act on items they are poorly informed about. Circulate back-ground information about policies, fiscal status, etc. prior to the meeting to enable staff to participate in informed discussion. Avoid handing out lengthy written material at meetings, as it cannot be digested in that setting yet may distract staff from the discussion.

5. Where and when will the meeting be held? Rooms should be large enough to accommodate staff comfortably. Location and noise are important factors in human service settings, and should be considered in planning. Timing must consider staff and client schedules.

Conducting Meetings. Supervisors are expected to lead productive, efficient staff meetings. This challenge becomes significant when one recognizes that most professionals spend four hours per week in meetings (Nicoll, 1984). The wasted meeting is costly in terms of time, money and staff morale. Figure 2 provides cues for managers in anticipating the tasks and pace required for various types of meetings. General guidelines for conducting effective meetings include the following (Jay, 1976; Sitcoff, 1984):

1. Start promptly, and set definite time limits for the meeting. Staff will learn to appreciate this consideration for their time and yours.

2. Circulate a final agenda as the meeting starts, indicating where the group should be by the end of the meeting. Solicit important last-minute or crisis items that cannot be held over.

3. Lead the discussion of items in order, providing direction and encouraging active staff participation.

4. Terminate discussion or decision on an item if more facts are needed or when key people are not present.

5. Focus discussion on the agenda. This often requires tactful but firm confrontation of those who diverge, and drawing out of those who withhold their views. Important but unscheduled issues raised should be held over for the next meeting's agenda.

6. Facilitate clashes of ideas rather than personalities by widening heated discussions with questions directed to neutral staff. Effective meetings strike a balance between *task functions* (getting through the agenda) and *maintenance functions* (attending to group process).

7. End meetings on time with a summary of what has been discussed and decided upon, who has responsibility for what tasks, and when the next meeting will take place.

Effective Group Decision-making. While participatory leadership invites staff to take part in decisions affecting their work, meetings often fail to develop a decision-making approach that is satisfactory to staff (Resnick,

1982; Vroom & Yetton, 1973). It is typical for staff to feel pressured by management to support "company policy." In some decisions this is, in fact, the case. Supervisors gain respect of their staff when they communicate *a priori* decisions honestly rather than alluding to staff input that does not exist. For those decisions where staff do have input, difficulties are likely to center on fears of retribution for an unpopular decision, conflicting loyalties across specialties or work groups, and interpersonal staff conflicts (Resnick, 1982).

In theory, group decision-making follows the general format of rational problem-solving in which alternatives are generated, their advantages and drawbacks weighed, and the best option selected. However, in practice most decisions are influenced by a number of nonlinear factors. Models of group decision-making give differing weights to the rational, emotional, pragmatic, and analytic aspects of decisions. Regardless of approach, supervisory meetings can promote effective decision-making when the following conditions exist (Resnick, 1982; Vroom & Yetton, 1973):

1. Democratic leadership that allows for mutual feedback
2. Flexible communication that encourages minority opinion
3. Open atmosphere in which differences are tolerated
4. Collaboration, in which staff build on each other's ideas
5. Shared decision-making to protect rights of all group members

Training: Matching Learning and Teaching Styles

Supervision includes the responsibility to provide staff training that links specific job requirements to the individual needs and capabilities of workers (Austin, 1981). Formal training programs often result from performance appraisals or program evaluations that identify specific needs. Informal training occurs less planfully, generally in response to directives from directors or funding bodies. In both cases, supervisors benefit from an understanding of individual differences in learning and their implications for specific training methods (Austin, 1981 Fisher & Fisher, 1979; Goldstein, 1986).

Learning Styles People learn in different ways. Each individual has preferred ways of organizing what he or she experiences, remembers and thinks about (Messick, 1976). Supervisors who recognize individual learning styles can select training methods that will result in desired staff change. While it is not always possible to achieve a perfect match between teaching and learning styles, research in organizational behavior suggests general guidelines for training programs.

Learning reflects change in an individual's knowledge, skill, ability, and/or attitude (Gilbert, 1982). The extent to which this occurs depends on numerous factors present in the learning environment. Considerations for planning staff training to maximize learning are noted below, and discussed more fully in Austin (1981), Goldstein (1986), and Messick (1976).

1. Readiness—knowledge, skill level, motivation, and emotional state are important factors in the ability to acquire new information. The *performance appraisal* (see Chapter 5) can provide an indication of knowledge, skills and attitudes of each staff member. In developing training programs, a supervisor can use *pretests* to identify what staff already know and who needs preparatory work (e.g., reading on specific topics). While it is difficult to directly measure staff motivation, supervisors can *increase incentives for learning* by developing voluntary training programs, setting challenging learning goals with timely feedback on their achievement, and providing organizational recognition for training.

2. Individual style—people differ in their cognitive, sensory, and emotional responses to stimuli. Working with staff over time enables the supervisor to gain a sense of how each individual tends to process information. Supervision, and in some cases formal training, can be adapted according to whether the person is a *deductive* or *inductive* thinker, his or her tendency to be *emotionally involved* or *emotionally neutral* in learning situations, preference for specific *sensory modes* in acquiring information (e.g., visual or auditory), and whether a *structured* or *open-ended* process enhances learning and retention. Physiological differences are also important predictors of learning. *Time of day*, level of *motor activity*, and *attention span* can be particularly relevant in planning training for direct service staff with large caseloads.

3. Learning Environment—how training occurs has implications for retention and transfer of learning to the actual work situation. Research suggests that highly organized and complex tasks (e.g., test evaluations) improve with *whole learning*, while *part learning* of separate components is more effective in tasks characterized by low organization and increasing complexity (e.g., listening skills). *Spaced practice* of new skills, while taking longer than massed practice, aids in retention of new material. *Overlearning* can improve retention of infrequent or emergency procedures (e.g., suicide precautions). Finally, *feedback* that is sensitive, specific, and given directly after training helps to reinforce learned material.

4. Retention—applying what is learned in training to actual job situations is the ultimate test of whether real learning has occurred. Retention and transfer of new material are enhanced by *maximizing similarity* between the learning and job setting, providing adequate opportunity to *practice* new skills or concepts, including *multiple examples* to help individuals generalize information, and *emphasizing major principles* of the training to provide cues for its application.

Teaching Styles. Numerous teaching styles have been described in the organizational training literature. They can be loosely grouped according to content, desired outcome, or major emphasis (Goldstein, 1986). Teaching can focus on

1. Facts: recall or recognition of names, places, events
2. Concepts: identifying characteristics of objects/events/ideas
3. Procedures: sequence of steps in a specific activity
4. Rules: sequential steps applying across numerous activities
5. Principles: interpretations of cause-and-effect relationships

(Wulfeck, Ellis, Richards, Wood, & Merrill, 1978)

Teaching can be designed to bring about change in staff members'

1. Intellectual Skills: concepts, rules and procedures
2. Cognitive Strategies: how and when to apply intellectual skills
3. Verbal Information: ability to articulate what one knows
4. Attitude: preferences for particular activities, people, etc.
5. Motor Skills: behavioral manifestations of performance

(Gagne, 1984)

Furthermore, teaching can encompass a variety of formats including

1. On-the-job Training: informal or formal (e.g., internships)
2. Lecture: verbal presentation, often with follow-up discussion
3. Programmed Instruction: texts or simulations for self-study
4. Audiovisual Techniques: films, audio or videotapes, slides
5. Case Studies: summaries of actual cases for evaluation
6. Role-Plays: simulated roles in which staff explore situations
7. Laboratory Training: group process as experiential learning
8. Behavior Modification: systematic shaping of work behaviors

(Goldstein, 1986)

Major approaches to supervisory teaching have been identified according to their emphasis on personal growth, behavioral shaping, information processing, or social interaction (Austin, 1981). Each approach will be briefly reviewed, with further discussion of their applications to educational and agency settings presented by Austin (1981) and Messick (1976).

1. **Personal growth** teaching models evolved from the humanistic counseling approaches of Rogers, Glasser, and Schutz. They share common goals of promoting personal creativity, providing individual control over the pace of learning, and encouraging experiential activities. Teaching is adapted to learner characteristics. Trainers communicate confidence in the individual's problem-solving capacity, emphasizing personal responsibility for behavior and the importance of interpersonal skills. Given their focus on interaction and learner risk-taking, personal growth models are often conducted in group settings.

2. **Behavioral** teaching approaches model or shape staff behavior to desired performance standards. Based on learning theory, these approaches adhere to systematic principles of establishing, maintaining, reinforcing and extinguishing behaviors. Objective assessment of staff training needs leads to

the selection of appropriate teaching strategies and reinforcers. Training schedules are developed using fixed or intermittent reinforcement to establish and maintain desired behaviors.

3. **Information-processing** teaching approaches focus on strategies for cognitive problem-solving. Awareness of decision-making processes is emphasized, with the goal of increasing an individual's capacity for organizing information in useful ways. A Socratic questioning technique is often used to help learners examine their own inductive as well as deductive patterns of information-processing.

4. **Social interaction** teaching emphasizes "learning by doing." These models are grounded in support of the validity of an experiential frame of reference for learning. Teaching encourages a process of inquiry to improve communication and problem-solving. Goals include the ability to reflect on, synthesize, and integrate new experiences with existing ideas or information. First-hand experience (either with or without prior training) serves as a problem-solving context that generates its own data.

Organizational Commitment to Training. Regardless of the teaching approach, training's ultimate success rests on its credibility in the work environment. A recent national survey of training executives (N=756) cited one major reason for the failure of many training programs as lack of on-the-job rewards to reinforce the skills or behaviors acquired in training (Opinion Research Corporation, 1986). If staff cannot expect training to be appreciated, they will not learn effectively. Lewis and Lewis (1983) suggest that training will be effective to the extent that staff (1) see the importance of training toward improving their work effectiveness, (2) are actively involved in setting training goals, and (3) see evidence that skills learned in training are recognized and reinforced in the workplace.

Summary: People as the Major Organizational Resource

Administrators with a background in direct service have many of the human relations skills that corporations invest millions trying to instill in their managers. Effective communication and sound decision-making are essential to supervisory competence. New administrators can usefully adapt these clinical skills to basic management functions.

Hiring staff, conducting meetings, and providing professional training are supervisory roles that require an ability to balance task and maintenance aspects of leadership. Each of these are reviewed with specific suggestions for their implementation by supervisors. Thoughtful planning in these areas minimizes the "management by crisis" atmosphere of many human service settings. Such an approach ultimately increases work satisfaction for the administrator by ensuring that she or he has a carefully selected, trained and organized staff.

Figure 2. Planning Meetings: Relationships Among Type, Task, and Tempo

Meeting Type	Major Tasks	Tempo
Informational	disseminate information listen to reactions question for clarification	crisp, quick
Validational	announce decisions present implementation plan listen to reactions assign tasks	variable, based on staff input
Strategizing or Decision-making	identify issues or needs generate alternatives weigh options & consequences choose most workable solution plan for implementation	slow, deliberate, divergent process
Staff Conference	present progress or status listen to reactions/opinions revise action plan as needed problem-solve to implement plan	repetitive and cyclical
Feedback and Evaluation	present facts on performance discuss strengths & weaknesses assess progress and needs develop performance goals plan assignments and training	slow, deliberate, contemplative
Training	present concepts question for clarification model desired learning practice period review and discuss application	smooth pace progressive may be episodic
Celebrational	informal discussion provide relaxing atmosphere	rambling

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Chapter 4

Conflict and Stress in Organizations

Given the dynamic nature of human service organizations, one can assert that conflict and stress are inevitable. Interdisciplinary professionals bring to the workplace distinct ideologies, personalities, and status (Feldman, 1980). Scarce resources and pressures for accountability create added tension among clinicians, supervisors, and upper management. Administrators who understand the nature of organizational conflict and stress can make a significant contribution to the performance of all personnel. This chapter reviews current research and strategies to channel these tensions in constructive ways.

Conflict: Obstruction or Opportunity?

What is conflict? Most simply, it is a state in which one or more parties are not obtaining a sought after goal (Hart, 1981). Conflict may be classified as *internal* (within individuals) or *external* (shaped by outside forces), as *process* (a series of behavioral events) or *structure* (a set of conditions or beliefs), and as *interpersonal* (between individuals) or *organizational* (a function of roles, power and policy) (Austin, 1978; Brett, 1984; Kilmann & Thomas, 1978).

Most individuals do not perceive conflict as opportunity. People dislike it, avoid it whenever possible and, when confronted with conflict, seek to stop it as quickly as possible (Watkins, 1986). Managing conflict, however, requires an appreciation for its potential. Effective supervisors recognize that conflict is a natural, often predictable, and dynamic phenomenon in any work setting.

Conflict management consists of interventions designed to change either the parties involved or the environment in which a conflict occurs (Brett, 1984). This section discusses approaches to conflict diagnosis and reviews strategies for supervisory intervention. Further reading on conflict management in human services may be found in Austin (1978), Brett (1984), Hart (1981), and Slavin (1985).

Conflict Diagnosis. How do you know where conflict exists? While most supervisors are aware of strains within the work group, they are often at a loss to clearly describe these conflicts. As in counseling clients, diagnosis is a critical first step in selecting appropriate interventions. Levinson (1972) provides a framework for analyzing conflict which includes the following diagnostic questions:

1. Where is the pain? Usually those most affected by a conflict will be most highly motivated to resolve it.

2. When did it begin? Chronic problems are harder to resolve than recent ones. If conflict is recent, the conditions which precipitated it can be more readily identified and altered.

3. What is happening to the dynamics of those involved? From a psychodynamic perspective, conflict affects the needs, emotions and self-image of people involved in characteristic ways. Anticipating these reactions can help the supervisor to plan helpful interventions.

Slavin (1985) provides another diagnostic model. He discusses aspects of conflict situations that provide a conceptual basis for analyzing these struggles. They include:

Parties: the individuals, groups, and/or organizations engaged in a conflict.
Issues: incompatible interests or motives (often disguised) that underlie conflict situations.
Power Relations: distribution and exertion of power by each party involved in the struggle.
Goals: potential payoffs to each party for "winning" the conflict.
Boundaries: how each party defines and protects their resources, responsibilities, rights and values.
Alliances: who has a stake in contended issues, and which parties they are motivated to support.
Equity: the underlying ethical or humanistic base that motivates each party to engage in the conflict.

(Slavin, 1985)

Hart (1981) provides useful group exercises for identifying and managing conflict. These strategies emphasize that supervisors who recognize the potential for growth in organizational conflict can act constructively rather than reacting defensively to these struggles. The diagnostic frameworks noted above provide important information for planning effective interventions.

Conflict Resolution Strategies

Once a conflict is understood by the supervisor, there are a number of potential ways to intervene. These interventions promote change at personal or organizational levels, and can be carried out by either the supervisor or a neutral third party. Hart (1981) identifies five basic approaches to conflict resolution, summarized in Figure 3. Each approach can be appropriate within a specific context. Four major strategies for conflict management are presented below, with excellent review of these approaches found in Brett (1984) and Slavin (1985).

1. **Integrative strategies** introduce overriding goals to remind each party in a conflict that their interests cannot be achieved without shared effort and resources. Mutual goals are focused on in problem-solving activities. Integrative approaches are most easily implemented when power among parties is equal, since they rely upon voluntary sharing of ideas and resources.

2. **Utilitarian strategies** focus on quick, pragmatic solutions that contain or avoid prolonged debate. They recognize and make use of power differences to "freeze" potential conflicts. These strategies might include initiating administrative directives without staff input; disseminating persuasive information to support unpopular policies; or absorbing powerful spokespersons into the organizational structure to eliminate potential sources of opposition.

3. **Negotiative strategies** recognize divergent goals of parties who must nonetheless maintain a working relationship. Compromise and bargaining focus on maintaining a balance of power among interdependent parties. Although in conflict, these parties cannot survive without one other. The benefit of some gain for each party in a "win-win" solution outweighs potential costs to all of failure to reach any agreement.

4. **Coercive strategies** emerge in situations where goals are mutually exclusive. Parties have no basis for agreement or motivation to cooperate. These approaches lead to open confrontation and a change in the status quo; they result in a "win-lose" resolution. Positions polarize, the atmosphere is charged, and direct power is used to gain the advantage.

Each of the above strategies can be appropriate in helping supervisors resolve problems with staff or upper management. Clear understanding of the conflict is critical in selecting which approach to select. A typical conflict situation is presented below, followed by an example of how each conflict resolution strategy might be implemented by supervisors.

The Conflict

Funding to your organization has been reduced by 8% in this year's state grant. The Director, following the Board's recommendation, suggests that two staff positions be eliminated to avoid reductions in other resources or services. Midmanagement supervisors have begun fighting among themselves to save positions within their units, and staff morale is declining.

Integrative Resolution: Supervisors from all departments meet and acknowledge the mutual goal of protecting staff positions. Problem-solving is initiated to identify ways to avoid arbitrary staff cuts in any department. Possible solutions offered include job-sharing among staff who would prefer reduced caseloads, consolidating resources among departments to save funds, and community fund-raising to provide the additional monies for these positions. These solutions are presented to top management as methods for maintaining morale while sustaining optimum service delivery.

Utilitarian Resolution: All supervisors meet and, after lengthy debate over details of the budget, agree that staff reduction is preferable to further loss of scarce program resources. To comply with EEOC and Affirmative Action requirements, they draft a policy that treats staff equitably in cutback decisions. This policy is endorsed by the Director and distributed to staff with a rationale and date of implementation.

Negotiative Resolution: Supervisors meet and argue about their respective staffing needs. After heated debate, it is noted that some decision needs to be made or it will be imposed upon them by the director. They discuss various options to cut back personnel and/or material costs in each department, and arrive at a compromise decision to eliminate several paraprofessional and support positions. This solution is mutually agreeable to all supervisors, and is presented to the Director as their recommendation for action.

Coercive Resolution: Supervisors meet, finding themselves in agreement that they do not accept management's recommendation. They draft a letter to the Director in which they (1) cite the Board's charge to secure funding for adequate programming, (2) document evidence that some critical programs are already suffering for lack of staff, and (3) state their intent to administer only those programs in which the organization is in exact compliance with state regulations if this cutback is enforced. They demand that the Board reconsider its decision and accept input from middle management toward a more appropriate solution to the cutbacks.

Stress and Burnout in Human Services

Like conflict, stress is an inevitable concommitant of living. Stress has been defined in numerous ways, each identifying real or perceived strain between person and environment. While various theories emphasize

biological, cognitive, affective or environmental contributors, a comprehensive definition of stress includes the following (Matheny, Aycock, Pugh, Curlette, & Cannella, 1986):

1. Stressor: internal and/or external demands placed on the individual.
2. Appraisal: subjective estimate of the severity of these demands and the adequacy of his or her resources to cope with them.
3. Symptoms: physiological, psychological and/or behavioral reactions to the appraisal.
4. Response: efforts to cope with these real or perceived demands.

Research on organizational stress has identified factors related to each of the above components. These are summarized briefly, with the reader referred to Matheny et al. (1986), Holt (1982), and Lazarus and Folkman (1984) for further reading on these topics.

Stressors in work settings have been examined from both objective and subjective perspectives. Objective stressors include physical properties of the work environment, time variables, social and administrative context of work, and job changes (Holt, 1982). Particularly relevant to direct service are the following stressors:

- inadequate office space for individual and group counseling,
- poor location of counseling offices (e.g., next to principal)
- lack of soundproofing between offices and public areas
- time pressure to handle regular as well as crisis situations
- nonstandard work hours to accommodate client scheduling
- excessive paperwork to meet administrative requirements
- work overload due to large caseloads or scheduling duties
- lack of extrinsic rewards (e.g., low pay scales)
- lack of intrinsic rewards (e.g., follow-up on client outcomes)
- poor communication between staff and supervisors
- lack of organizational focus and direction

Subjective stressors include work roles, relationships among peers and with supervisors, intrapsychic or interpersonal conflict, job insecurity, discrimination, person-job fit, stressful life events effecting work performance, and the strain between quantity and quality of work performed (Holt, 1982). Examples of these stressors in counseling settings include:

- responsibility (often without control) for client welfare
- role ambiguity inherent in divergent theories of counseling
- role conflict between colleagues from diverse specialties
- lack of participation in organizational decision-making
- pressures for accountability from supervisors and community
- quantity of clients seen versus quality of service to each client
- lack of support or socialization in the work setting
- lack of promotional opportunities or a clear career ladder

Cooper and Marshall (1978) cite additional sources of stress among managers as interactions between the following:

Individual supervisor: personality, tolerance for ambiguity and change, motivation, behavioral style

Job factors: too much or too little work, poor working conditions, decision-making responsibility, time pressure

Role in organization: role conflict or ambiguity, responsibility without authority, exclusion from organizational policy decisions, supervisory responsibilities

Organizational climate: lack of opportunities for training and consultation, restrictions on behavior, office politics

Career development: over or under-promotion, lack of job security, thwarted ambition, lack of training for competent administration

Relationships with coworkers: poor communication or cooperation with superiors or staff, difficulty in delegating responsibility, lack of identification with area of specialized training

Interface with outside stressors: agency versus family demands, organizational goals versus personal interests, life crises

Appraisal includes the individual's intellectual and emotional assessment of a stressor, as well as the perception of his or her ability to respond to this demand. Research points to characteristic individual differences in appraisal. An example of this is the "Type A" personality, who feels constant time pressure and believes that work success results from achieving more, better, and faster than others. Such persons approach tasks with a predisposition toward aggression, impatience and competitiveness, reflecting a "fight" rather than "flight" reaction (Rosenman & Chesney, 1982).

Appraisal of a stressor also considers the resources an individual has to cope with it. These include variables such as social support, cognitive skills, physical health, stamina, history of coping, and sense of control (Matheny at al., 1986). If resources are perceived as adequate to the demand, less strain is felt than when a stressor is seen as overchallenging (threatening) or underchallenging (boring).

Symptoms of stress encompass a wide range of physical, behavioral, and psychological reactions. Goldberger & Breznitz (1982) present excellent reviews of the impact of stress on human thought processes, decision-making ability, somatic disorders, acute and chronic illness, emotions, and work productivity. While individuals react differentially to a given event, it

has become evident that reactions to stress are central to an understanding of work performance.

Responses to stress include coping strategies: all efforts, conscious or unconscious, healthy or unhealthy, which the individual directs at preventing, eliminating or weakening stressors, or tolerating their effects in the least hurtful manner (Matheny et al., 1986). Responses can be classified as problem-focused (addressing environmental sources of stress) or emotion-focused (reducing or managing affective distress) (Lazarus & Folkman, 1984). A taxonomy of coping behaviors identified through research includes strategies such as problem-solving, tension reduction, assertive responses, avoidance, self-medication, and denial (Matheny et al., 1986).

Identifying Stress Among Managers and Staff. Human services are high stress occupations, dealing with pervasive social as well as individual problems. This charge takes a toll on practitioners. Stress (often called burnout) among staff manifests itself in various symptoms and coping efforts. Signs supervisors can readily detect include somatic complaints, depression, irritability, decline in work performance, detachment from clients or colleagues, absenteeism, avoidance of meetings and training opportunities, counterproductive behaviors (e.g., procrastination, gossip), and lack of motivation (Holt, 1982; Pines & Maslach, 1978; Shinn, Rosario, Morch, & Cherniss, 1984). Counselors may be particularly prone to stress due to unrealistic expectations about 'helping people', and the need to feel competent in a field where outcomes are uncertain, limited by numerous factors, and variable across clients (Shinn et al., 1984).

Coping strategies among supervisors under stress include all of the above, with additional strain from their often ambiguous roles, responsibilities and authority as middle managers. Such stress translates into signs of ineffective performance: poor time management, frequently cancelled staff meetings, unilateral decision-making, excessive attention to or avoidance of paperwork, overcritical feedback to staff, inability to concentrate on tasks, and physical or psychological withdrawal from the organization (Austin, 1981; Dailey & Jeffress, 1983). Supervisors must be alert to their own stress levels and coping responses in order to minimize burnout among their staff.

Toward Effective Stress Management

Research into occupational stress management is relatively recent and inconclusive (Newman & Beehr, 1979; Matheny et al., 1986). This is due in part to the subjectivity of individual coping responses, and an absence of organizational procedures for identifying troubled workers (Bayer & Gerstein, 1987). Stress reduction strategies typically distinguish between problem-focused and emotion-focused coping (Lazarus & Folkman, 1984), preventive versus remedial interventions (Matheny et al., 1986), and personal or organizational approaches to stress management (Newman & Beehr, 1979).

The following strategies are offered as potentially effective ways for supervisors to minimize work stressors, adjust job demands, alter stress-

inducing behaviors, or help organizations develop resources for coping. Further discussion of these approaches can be found in Pines & Maslach (1978), Newman & Beehr (1979), and Matheny et al. (1986).

Personal and Interpersonal Strategies

1. **Limit Workloads.** Ensure that staff have moderate caseloads and are not burdened with excessive paperwork. Recall that employees are "rented, not owned" to minimize expectations of after-hours work. Help staff set reasonable treatment goals with clients or students.
2. **Maintain Balance.** Prevent overinvestment in cases. Delegate tasks and provide variety (e.g., diverse cases, special projects). Insist that staff have and use adequate vacation time to avoid burnout.
3. **Diversify Interests.** Promote organizational activities unrelated to work (e.g., volleyball teams, celebrating birthdays). Support staff hobbies and achievements outside of the workplace.
4. **Social Support.** Provide opportunities for socialization. Introduce humor in meetings. Establish staff area for informal conversations.
5. **Constructive Feedback.** Attend to process as well as task functions in supervision. Confront polarizing or discounting among staff. Provide regular feedback on successes as well as problem areas.
6. **Teambuilding.** Encourage collaboration by staff on difficult cases or special projects. Rotate administrative and leadership duties.

Organizational Strategies

1. **Job Enrichment.** Schedule training to improve and diversify skills. Apply individual staff strengths in work assignments. Solicit staff for special projects to increase interest (e.g., hiring decisions).
2. **Decision-making Structure.** Involve staff in policy decisions where feasible. Improve communication and contact between practitioners, administrators, and top management personnel.
3. **Professional Development.** Develop individual career plans with each staff member. Budget ongoing organizational support (i.e., time, finances) for career-related activities that benefit the employee and organization.
4. **Developmental Supervision.** Match supervisory emphasis to the needs and skills of staff members at differing life or career stages.
5. **Role Clarification.** Specify the responsibilities, authority, and inter-relationships of all staff members.
6. **Environmental Control.** Encourage staff involvement in scheduling and time management. Provide resources for staff "ownership" of physical plant (e.g., bulletin board, office decor).

7. **Goal-Setting.** Include staff in process of planning, implementing, and evaluating organizational goals. Circulate information about program status and objectives as it becomes available.

Summary: Management for Change Versus Crisis

Without anticipatory planning, the inevitable stresses and conflicts of organizational life contribute to "management by crisis" that is palliative at best. Effective administrators are skilled at forecasting these tensions, and approach them as challenges rather than obstacles. Just as clients cannot realize enduring change without some turbulence, an organization stagnates without such dynamic interactions.

New administrators have the difficult task of balancing their need to be accepted with their responsibility to provide leadership. Conflict and stress are arenas in which former counselors often find the role of administrator difficult. This chapter reviewed strategies to help supervisors manage conflict and stress in the workplace. Beyond learning specific approaches, however, one's style of communicating contributes greatly to his or her ability to resolve personal, interpersonal, and organizational tension. Basic sensitivity to the human experience, gained through direct service, is an invaluable aid to competence in these areas.

Figure 3. Basic Approaches to Conflict Resolution

Method	Process	Appropriate Use	Inappropriate Use
Denial or withdrawal	Attempts to resolve problem by denying its existence.	Issue is trivial or timing is wrong. If cooling off period is needed.	If issue is important and likely to worsen if not addressed.
Suppression	Differences minimized and surface harmony exists. May result in defensiveness and resentment if issue remains suppressed.	When preserving the relationship is an immediate priority, and the issue is relatively trivial.	When it evades issues that are important and that others in the situation are ready to deal with directly.
Dominance	Use of authority or position power to settle a conflict. Results in win/lose situation.	If power comes with position of authority and all parties have agreed to this.	When losers have no way to express their needs. May lead to morale or behavior problems.
Compromise; Negotiation	Each party gives up something to resolve problems in an interdependent association.	When each party can sustain a partial resolution. If resources are limited and relationship is mutually important.	When position is unrealistic or the solution is too diluted to be at least partially effective.
Collaboration	Abilities, values and expertise of all are recognized in finding a group solution. Is focused on win/win resolution.	When enough time is available to carry out a group process resolution, and all are committed to a mutually beneficial solution.	If time, ability and commitment of all involved are not adequately present.

Printed with permission of the author. Hart, L. G. (1981). Learning from conflict: A handbook for trainers and group leaders. MA: Addison-Wesley Publishing.

Chapter 5

Accountability in Performance Evaluations

Accountability is a major aspect of administration. As middle managers, supervisors are responsible to two sets of colleagues. Top administrators expect them to maintain high standards in their own conduct, as well as to supervise staff in carrying out organizational objectives. Staff expect supervisors to provide them with support and to serve as advocates in representing their interests to top management (Slavin, 1985). In each case, supervisors are held accountable for their own work performance and that of their staff.

Accountability refers to being responsible for something of value or importance (Beck & Hillmar, 1986). This clearly applies to performance evaluations. If work performance is important, then people must be held accountable for it. If not, the message given is that work is either unimportant or not valued by the organization (Beck & Hillmar, 1986).

Staff evaluations are perhaps the most sensitive aspect of administrative supervision. Making judgments about colleagues' performance is difficult at best; when linked to decisions such as retention and salary they become charged for all parties involved. On the other hand, the absence of a clear link between one's effort and results contributes to feelings of helplessness, frustration, depression and apathy among workers (Barber, 1986; Beck & Hillmar, 1986). Supervisors need to recognize the impact of evaluations in organizational as well as personal context.

Performance Appraisal Systems

People want information about what is expected of them and how they are doing; a good performance appraisal system provides this feedback in both qualitative and quantitative ways. Such appraisal systems serve at least three major functions (Levinson, 1976):

1. To provide feedback to individual staff on their performance in carrying out organizational goals.

2. To provide supervisors with a basis for identifying staff competencies, training requirements, and problems in the work environment.

3. To provide cumulative data for management decisions regarding staffing needs, work assignments, and salary or promotion considerations.

Developing an appraisal system requires careful planning by middle and upper management. All too often, administrators implement performance evaluations without first considering the foundation needed to build such an evaluation. The development of performance standards, selection of appropriate appraisal instruments, and sound performance review procedures are critical to successful evaluations. General guidelines for planning an appraisal system are presented in this chapter, with specific recommendations for involving staff in the evaluation process. Further discussion of these topics may be found in Austin (1981), Graves (1982a), Graves (1982b), Slavin (1985) and White (1981).

Setting Performance Standards

Job descriptions may be likened to a map of the terrain covered by a given position. Likewise, performance evaluations describe how well an individual has "covered the map" of his or her responsibilities. Within this framework, however, there is a need for navigational aids. That is, exactly how should the staff member proceed?

Establishing performance standards helps both staff and supervisor identify tasks, roles, relationships, and a time frame for completing work. Three approaches commonly used in setting work standards include job design, functional job analysis, and management by objectives (MBO). Each approach is reviewed with comment on its benefits and limitations for practical use in human service settings.

Job Design is a procedure for documenting the what, how, and who of a given position (White, 1981). It represents a standard, thorough job description developed over five sequential steps:

1. Job title—an accurate description of the position should be captured by its name. Job titles are often sources of pride to staff, and help clarify the role of each individual within the organization.

2. Job summary—a brief, general statement of what the position entails is helpful in hiring or classifying specific jobs. Summaries also help to distinguish between similar positions within a department.

3. Job duties statement—a list of each task and how it is to be performed lends specificity to the role of the worker. This statement reflects the standard of performance expected from a given position.

4. Job specification—exact requirements for performing a job satisfactorily. This identifies the education, skills, and authority of the encumbent. Job requirements must clearly be related to duties, as regulated by the Equal Employment Opportunity Commission (EEOC).

5. Job classification—a policy for grouping jobs by requirements and duties assists in standardizing performance expectations and salary levels. This is generally a coordinated effort by the program supervisor and the personnel director.

Job design helps supervisors and staff avoid conflicts that arise from nonexistent or inadequate job descriptions. It can be a useful hiring tool, informing prospective candidates of all aspects of a position. Specification of the education and skills required for a job helps eliminate unqualified or overqualified candidates from among a pool of applicants (White, 1981).

In human service settings, job design may fail to capture intangible personal qualities (e.g., tolerance for ambiguity) that are important aspects of successful service delivery. Like other approaches to be discussed, this method of job specification is limited in its ability to quantify the nonspecific human factors of counseling positions.

Functional Job Analysis refers to breaking broad job descriptions down into specific, sequential activities linked to expected outcomes (Fine, 1980). This results in a group of task statements, each including some or all of five criteria:

1. Who the subject of the task is (the staff member)
2. What action is performed (concrete action verbs)
3. What equipment or instruments are used
4. What the immediate objective is (relating action directly to expected outcome)

5. What instructions are pertinent (organizational policies, staff discretion, etc.)

An example of a task statement following the job analysis format might consist of the following:

> While conducting intake interview, counselor asks client about the severity and length of symptoms reported in the Request for Services Form in order to establish a diagnostic impression.

The *subject* (counselor) performs an *activity* (questioning client) in order to accomplish a *specific objective* (establish an initial diagnosis). In this case an *instrument* (Request for Services) is used, and the procedure appears to follow *agency policies* (intake and diagnosis of new clients).

The linking of activities to specific outcomes in functional job analysis allows the supervisor to set performance standards. For example, in the above statement a standard might be that all clients are assigned a working diagnosis upon intake. Such task statements provide objective, often quantifiable, measures of performance. Once developed for a specific position they are relatively stable, given periodic updating as job descriptions or organizational policies change (Fine, 1980).

On the negative side, considerable amounts of time are initially needed to write task statements, and to ensure that they adequately cover the complete domain of responsibilities identified in the job description. Also, it may be difficult to develop objective task statements for some aspects of counseling positions (e.g., collegeal relationships).

Management by Objectives (MBO) is a results-oriented planning tool which originated in business but which has been adapted to human services settings. MBO as a management approach is best implemented throughout all levels of an organization, providing feedback to staff on their progress toward negotiated goals. While variations on the specific format of MBO statements are numerous (Beck & Hillmar, 1986; Granvold, 1978; Wiehe, 1985), the basic principle is that all those responsible for carrying out particular activities be involved in their development.

Linking organizational goals to specific objectives is achieved through a mutual contract between the supervisor and staff member. This contract should ideally contain two sets of objectives: performance objectives that measures one's work against established standards, and personal development objectives that address interests and professional goals of the individual (Granvold, 1978). MBO statements typically include time frames for completing each desired outcome (goal), and consist of the following information:

1. Mission—general philosophy and direction which serves as a reference point for all organizational activities.

2. **Goals**—broad statements of accomplishments which contribute to the mission.

3. **Objectives**—specific, operational procedures for attaining each identified goal.

4. **Plans**—activities and tasks undertaken to carry out each objective.

5. **Performance Review**—informal checkpoints and formal evaluation procedures to assess progress toward carrying out objectives.

An example of MBO language in planning program activities within an agency counseling service might include the following:

Mission: To provide counseling services to members of the community irregardless of age, sex, religion, ethnic affiliation, or ability to pay.

Goal #1: To maintain hours of operation which permit equal access to services by all residents.

Obj. 1: To have all direct service staff maintain evening hours one day per week.

Obj. 2: To provide intake services to individuals and families from 8am to 8pm weekdays.

Obj. 3: To provide 24 hour emergency telephone and walk-in service.

Plans: Staff member will carry a caseload of three clients between 5pm and 9pm on Tuesdays.
Staff member will conduct one intake session per week.
Staff member will rotate one day of emergency service back-up call per month.

Review: Caseload and intake reports will be reviewed on a monthly basis in supervisory sessions.
Emergency service placements and referrals will be reviewed with supervisor immediately (if crisis), or at weekly staff meetings.
Performance evaluation will occur every six months to formally review progress.

As with functional job analysis, the initial effort required to implement MBO is considerable. Goals for each program require an understanding of and communication with other programs, thus MBO is most effective when coordinated among all departments and levels. The integration of various internal goals and objectives is a time-consuming process that demands strong commitment throughout an organization.

In terms of benefits, MBO provides a basis for supervisors to focus on specific outcomes and productivity in reviewing staff performance. It is also designed to provide maximum staff commitment to performance goals by having them actively involved in the planning process. Finally, by causing various departments to cooperate in a long-range planning effort, MBO can enhance a sense of cohesion and mutual interdependence (Wiehe, 1985).

Performance Evaluation Methods

Although perhaps the most widely researched topic in the management literature, performance evaluation as it typically occurs is criticized by both administrators and staff. Reasons cited include the lack of clear priorities in evaluating performance, inadequate feedback systems, unclear appraisal standards, fear and guilt incurred among colleagues making judgments about one another, and the failure to use evaluations as both developmental and appraisal tools (Beck & Hillmar, 1986; Levinson, 1976).

There is no "best method" for evaluation in human services settings. However, few would disagree that judgments about job performance occur in any organization. Given this reality, EEOC guidelines demand that organizations be able to defend the basis for personnel decisions such as promotion, hiring or firing, and salary. Beyond their value in professional development, performance evaluations provide the basis for such administrative decisions.

Common methods of performance evaluation are described below, with an example of how each method might be used in performance evaluation depicted in Figure 4. Further review and comparison of these methods are provided by Austin (1981), Graves (1982a), and Graves (1982b).

Narrative appraisal consists of an essay describing worker performance, often using specific examples and adjectives. One common example of narrative appraisal is the letter of reference. This format allows for maximum freedom in commenting on an individual's performance. The use of examples or 'critical incidents' enables the writer to document specific activities in support of general perceptions. As a qualitative review of performance, narratives thus seem particularly useful in staff development.

Among limitations of this approach, descriptive adjectives are subject to arbitrary meanings assigned by both the writer and reader (e.g., what distinguishes "appropriate" from "excellent" performance?). In addition, narratives are susceptible to halo effects (global generalities about an individual's work) in which no useful discrimination is made between relative strengths and weaknesses. Finally, narratives are noncomparative

forms of evaluation, thus cannot justify often comparative staff decisions such as raises or promotions.

Trait checklists are the most common form of performance appraisal. Using a rating scale and standard descriptors, staff are evaluated on various dimensions. These instruments are easy to construct, and can be obtained in standardized form for many positions. They consist of a number of performance criteria that are matched to specific job descriptions. Trait checklists take relatively little time to complete, and can be numerically "scored" to provide ordinal rankings across staff.

Among drawbacks to this appraisal method are, again, the susceptibility to rating biases. Also, trait checklists are inadequate for evaluating different levels of the same trait. For example, the criteria of "job knowledge," rated high to low, is inappropriate in comparing paraprofessional workers and senior counselors on the same staff. The scope of their respective jobs and the knowledge required presumably differ significantly, but are not differentiated using this approach.

Behaviorally anchored rating scales (BARS) reflect a more recent form of evaluation tool derived from job analyses. BARS scales identify specific job dimensions and provide descriptive categories to "anchor" behaviors on each dimension. For example, the dimension of *perseverance* might be anchored by behavior such as "can be expected to continue work until task is completed" (high perseverance) to "stops working on task at first obstacle" (low perseverance). The supervisor rates each staff member on relevant job dimensions, perhaps documenting critical incidents as rationale for the ratings.

A major advantage of BARS scales is their emphasis on an objective rating system to evaluate concrete behaviors. These scales also attempt to describe what numerical ratings mean through behavioral examples at each level on the scale.

Among drawbacks of BARS scales is the considerable effort required to identify and construct behavioral anchors for each job dimension. In human service settings it is difficult to define behavioral criteria by which to assess internal events that contribute to job performance (e.g., clinical judgment). This method may thus be limited in its potential to evaluate process well as outcome in direct service positions.

Comparative rankings include several methods which evaluate dimensions of an individual's performance in comparison with his or her peers. This can be done by ranking staff from highest to lowest on several global performance criteria, or by making paired comparisons across all staff (e.g., Sue & Jim, Jim & Bob, Bob & Sue). A more complex version of this method is the scaled comparison, in which pairs are rated on relative equality across various job dimensions (see Graves, 1982).

One advantage of comparative rankings is that they identify what is often implicit; that evaluations are in fact a comparison among staff members. They also test rater reliability, because inconsistencies show up (e.g., if Sue performs better than Bob, and Bob performs better than Jim, how can Jim

be rated higher than Sue?). In this sense, they may provide some safeguard against subjective biases found in other ratings.

One disadvantage of comparative rankings is resistance among many supervisors to overtly compare staff. Also, the task of rating all possible pairs becomes cumbersome with large staffs. A related issue, pertinent to all evaluation approaches, is the difficulty in capturing all important dimensions of performance in service occupations.

Involving Staff in the Appraisal Process

From the above discussion it is evident that no single approach to performance evaluation is a panacea. Administrators need to reflect upon each staff member's job description to identify those tasks or characteristics central to successful performance. A caveat of any evaluation process is objectivity; recall that it is performance and not personality that is being assessed.

An effective appraisal system will include one or some combination of evaluation approaches that appear most valid for assessing performance in a given position. Supervisors should keep in mind the three *equally important* appraisal functions noted previously: to provide feedback to staff, to help identify competencies and training needs, and as an objective basis for personnel decisions (Levinson, 1976).

Most people do not enjoy being evaluated. Sensitivity to the human factors in this procedures are an important competency for administrators to acquire (Harper, 1986). It is vital to include direct service staff in the design of an organizational appraisal system, since they have a vested interest in their evaluations and the decisions resulting from them.

Once an appraisal system is developed, the following procedures are recommended for actively involving staff in its implementation (Austin, 1981; Harper, 1986; Lewis & Lewis, 1983):

1. **Staff access to criteria.** All staff should have written copies of their job description and the appraisal instrument(s). They should be aware *in advance* of the criteria on which their performance will be evaluated, as well as the timetable for performance reviews and formal appraisals.

2. **Frequent performance reviews.** Evaluations should not occur in a vacuum, nor should they include surprises. Regular informal feedback and periodic performance reviews during supervision are crucial. They ensure that staff understand and can communicate with supervisors about job expectations.

3. **Staff self-evaluation.** As formal evaluation approaches, many supervisors have their staff participate in the process. This can be done by self-evaluation, peer feedback, or discussion with the individual and others associated with the job about his or her recent performance. In an ongoing appraisal system, it is important to gauge performance since the last evaluation, rather than in global terms.

4. **Written evaluation preceeding review.** The written appraisal should be given to a staff member *prior* to the formal discussion meeting. This gives

him or her time to read and react to its contents, and provides some perspective from which to discuss the evaluation.

5. **Review meetings for mutual feedback.** Formal appraisal meetings should focus on clarification of the individual's strengths and weaknesses, comparisons of the present with prior evaluations, future objectives and training needs, and reactions of both to the appraisal. This talk should be constructive as well as sensitive in noting personal and organizational goals. The discussion should end on a positive note to provide impetus for a renewed commitment by both the staff member and supervisor.

6. **Written response from staff member.** All evaluations should provide an opportunity for the staff member to respond in writing to the appraisal. This reaction is included in the personnel file along with the appraisal. Individuals have the right to appeal any appraisal they feel is unjust through the organization's grievance channels.

7. **Separate appraisal review from personnel decisions.** An appraisal is often the basis for subsequent personnel decisions. In general, these decisions (e.g., salary, promotion, training, termination) are best made after the appraisal discussion. This keeps the focus of the appraisal on professional development, and allows management time to consider the individual's response to the appraisal in subsequent personnel decisions.

Summary: Toward Purposeful Performance Appraisal

Evaluating another person's performance is a difficult task. In supervisory roles this task is further complicated by the need to make personnel decisions based upon those appraisals. Perhaps more than any other aspect of administration, performance evaluation is frought with anxiety and ambiguity by all concerned. However, avoiding the appraisal process undermines organizational effectiveness through lack of accountability, and undermines staff morale through the lack of constructive feedback.

Administrators need an awareness of procedures for designing an appraisal system, and the tools for evaluating staff performance. This chapter reviewed three commonly used methods for establishing performance standards: job design, functional job analysis, and management by objectives. Each has limitations for human service settings, but offers potential for creative adaptation to the needs of a specific setting.

Performance evaluation methods are rightfully criticized for their potential limitations and biases. Benefits and drawbacks of a variety of evaluation approaches are discussed, with examples of how each might be incorporated in the evaluation of a counseling position. The importance of actively involving staff in the design and process of evaluation is emphasized.

Given their background in human relations, counselors in administrative positions often possess the sensitivity and skills to conduct effective evaluations in which a balance is achieved among three important functions: to provide feedback to staff, identify competencies and training needs, and as a basis for personnel decisions.

Figure 4. Sample Performance Evaluation Methods for a Counseling Position

Name: Mary Brown Position: mental health counselor Date: 1/1/87

1. TRAIT CHECKLIST METHOD

(based on job performance standards)

Relationship with clients	below	marginal	adequate	exceeds	outstanding
Prepares treatment plans for all clients					
Develops goal-directed plans with client input.					
Treats clients respectfully and protects client rights					
Maintains appropriate boundaries with clients					
Flexible in changing treatment plans as necessary					
Reviews and documents case progress regularly					
Handles ethical issues appropriately					
Terminates clients after goals are reached					

2. CRITICAL INCIDENTS METHOD

Examples to support ratings (report incident, staff behaviors, and outcomes)

3. BARS SCALE
Technical proficiency

Criterion Statement: Applies Major Theoretical Approaches in Counseling

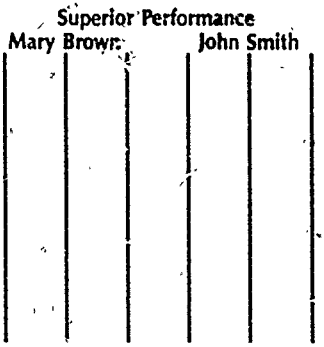
Examples of Observable Behavior	Rating
able to apply constructs and techniques from dynamic, cognitive-behavioral, and humanistic counseling models	5
applies constructs and techniques from two of the above major counseling models in work with clients	4
demonstrates proficiency in one of above orientations, with some knowledge of alternative counseling approaches	3
understands and uses techniques from major approaches, but cannot explain underlying theoretical tenets	2
unable to apply basic therapeutic techniques from major counseling approaches	1

4. SCALE COMPARISON METHOD
Comparative Ranking

Task: To Maintain Adequate Client Records

Rating Criterion

1. Completes intakes within 1 week
2. Writes weekly progress notes
3. Reviews treatment plan every 3 months
4. Completes financial forms, consent forms, and any referrals promptly
5. All medical consults & medications charted
6. Adheres to agency record-keeping format



5. NARRATIVE APPRAISAL METHOD
Appraisal of relative strengths & weaknesses

SUGGESTED TRAINING

Presented to Employee on_____ Performance Review on_____

Supervisor's Signature _____ Employee Signature _____

EMPLOYEE COMMENTS AND REACTIONS

Signature_____

Title _____ Date _____

Chapter 6

Program Planning and Implementation

Counselors moving into supervisory positions often find managing programs more confusing than managing people. Given their background this is hardly surprising, but does highlight the need for these new administrators to learn the basics of program planning, budgeting, scheduling and evaluation. Not only are they important management tasks, but they directly influence rapport with staff. Effectiveness in conducting supervision or resolving staff conflicts is undermined by an actual or perceived lack of competence in managing the program itself.

This chapter provides basic information on common aspects of program management. Topics include conducting needs assessments, preparing budgets, program implementation, and program evaluation procedures.

Where Do I Go From Here? Needs Assessment

A popular self-help book is titled *If you don't know where you're going you'll probably end up somewhere else* (Campbell, 1974). This slogan is relevant to program planning without adequate understanding of service needs of the community. Research suggests that needs assessments in human services, if conducted at all, often lack utility due to design limitations or biased interpretations (Kimmel, 1977). A basic management error following from this is program planning which perpetuates existing services rather than planning for identified client needs (Royse & Drude, 1982).

How can supervisors identify specific program needs and have confidence that they represent needs of the community at large? A starting point comes with recognizing that there are various ways of describing needs (Bradshaw, 1977). In an organizational context, *perceived* needs include what people report as being necessary, while *expressed* needs reflect the number of clients actually requesting services for specific problems. *Normative* needs are goals usually set by experts (e.g., desired ratio of school counselors to students), and *relative* needs establish priorities among a number of desired services. How needs are identified will have an impact on the types of programs developed (Bradshaw, 1977).

A comprehensive needs assessment methodology is presented by Warheit, Bell, & Schwab (1977) for mental health organizations. Gibson, Mitchell, & Higgins (1983) adapt this approach for use in school settings. Starting with baseline data from current program operations and the surrounding community, specific strategies for implementing needs assessment approaches are identified. Advantages and limitations of major assessment strategies are reviewed by these authors and summarized below.

Expert Informants Approach. This strategy relies on input from professionals having statistical, social, or political perspectives on the structure of the community being served. Questionaires, a Delphi technique, telephone or personal interviews are used to gather specific data on use of resources (expressed need), recommended standards (normative need), and equity of services provided to various segments of the community (relative need).

This approach is typically inexpensive and simple to implement. Written, telephone or personal contact with key community figures (e.g., public officials, physicians, clergy, related agencies) elicits a broad perspective on community life. Resulting data from these diverse professionals provides a potentially balanced view of local needs. An expert informants approach can also promote public relations and cooperation among various agencies or bureaus.

Limitations of this approach center on potential biases or distortions of the professional community. Do politicians or physicians really understand the needs of their disadvantaged neighbors? They may not be aware of the perceived needs of many who do not or cannot actively represent themselves for various reasons. The less visible sectors of the community may, using this approach, never get identified although they have a legitimate need for services.

Community Forum Approach. Holding public meetings to elicit resident opinions on the service needs of a community is an assessment strategy that taps perceived needs. Both experts and laypersons typically attend such meetings, with all being invited to

voice their beliefs. Often there is a panel discussion to present various perspectives, followed by moderated questions and comments from the audience.

This strategy is also fairly inexpensive to implement. It invites a wide variety of views from all sectors, thus potentially avoiding the professional bias noted above. Public forums are most effective when well publicized and easily accessible to residents (i.e., scheduled at a convenient time and location). Such meetings can increase visibility of issues and the organizations which address them. They may identify creative resources within a community to tackle common problems, and provide the initial momentum to do so.

One limitation of this approach is the potential for drawing a nonrepresentative sample of the community. Open forums often attract special groups lobbying for their causes, with resulting distortions in the 'larger picture.' Second, meetings must be carefully organized to minimize the potential for misinformation or unrealistic expectations being circulated. Finally, selecting a moderator who is credible throughout the community to facilitate the forum is an important consideration in planning community meetings.

Rates-Under-Treatment (RUT) Approach. Descriptive data on service utilization is a valuable aspect of any program planning effort. This assessment relies on both current use patterns and longitudinal statistics to identify trends in expressed or relative needs. Records from within the organization as well as local schools, agencies, and health facilities can provide an accurate profile of how residents are using available services.

Given modern automation of record-keeping functions, this approach is increasingly feasible and inexpensive. Data on actual use patterns provide an excellent overview of the operations of an organization over time, and can increase administrative sensitivity to services that are over or underutilized.

Disadvantages of this approach center on its ability to capture only expressed or relative needs. It fails to identify needs of those who are not 'in the system,' thus excluding potential clients and needs from planning efforts. Also, legal and ethical safeguards to protect anonymity of individual records are essential in reviewing client data. This requirement may prove difficult in small programs.

Social Indicators Approach. This strategy is an extension of the RUT approach, seeking descriptive data from public records and archives. Relative needs are inferred from community indices such as housing patterns, employment rates, population demographics (e.g., age, sex, income), and social problems (e.g., substance abuse). Both current and historical records can be reviewed to identify trends or patterns.

This approach provides a context to interpret findings from other assessments. For example, if low income housing areas are infrequent users of a community service, it may not be addressing their needs adequately. Public records are readily obtained from health agencies, local colleges, libraries or governmental offices. The flexibility of this approach permits data to be cross-referenced with other indices to provide a composite view of community characteristics.

As with any normative statistics, social indicators present only an indirect measure of needs, and may not identify existing problems adequately. For example, low divorce rates in a community would not reflect a potentially high incidence of family violence. The attempt to infer individual needs from community averages can also be misleading in human services, for at times a small segment of the population (e.g., deinstitutionalized psychiatric patients) need a wide array of services which the larger population do not require. For these reasons, social indicators appear to be most useful when combined with other assessments of community needs.

Field Survey Approach. In efforts to obtain feedback from a large proportion of the community, the use of interviews or questionnaires might be included in a needs assessments. Items polled typically include both general and specific questions about the health, social well-being, and patterns of care or service received by respondents. Field surveys are conducted over the phone or by mail, by door-to-door canvassing, or through interviews in public places.

Field surveys allow planners to obtain direct data about perceived needs and the use of services (expressed need). Items polled can be individually tailored to organizational goals, thus yielding information not available from other sources. Such surveys are potentially reliable and valid tools for gathering qualitative data from representative samples of the community.

This approach is often expensive, requiring knowledge of questionnaire development as well as random sampling procedures. Interviewers must be skilled at asking questions and clarifying answers to avoid response biases. Survey research requires planning and follow-up, as initially low return rates are the norm and people may be reluctant to respond for various reasons. This approach thus seems most effective in the context of a coordinated organizational effort and some expertise in survey research methods.

As is evident from the above review, relevant data can be obtained from each of these assessment approaches, and in fact no one strategy is able to provide a comprehensive picture of community needs. A good organizational needs assessment usually combines several approaches to examine the impact of existing services as well as to develop new programming (Gibson et al., 1983; Kimmel, 1977; Royse & Drude, 1982; Warheit et al., 1977).

Budgets: Blueprint for Programming

Developing programs to meet identified needs of the community often involves supervisors in budgeting. Hiring and training staff, ordering materials, and providing facilities to implement programs all cost money. Given limited budgets, personnel and program decisions must be carefully prioritized. Budgets are one aspect of *fiscal management*, a term referring to organizational policy and related activities serving the following functions:

1. Funding—acquiring financial resources
2. Distribution—allocating resources
3. Evaluation—accounting for use of resources

(Sorensen, Hanbery, & Kucic, 1983)

Budgets may be viewed as the quantitative expression of your master plan (Sorensen et al., 1983). While needs assessments help to identify where you are going, budgets clarify how much it will cost to get there. When used effectively, they are invaluable tools for planning, implementing, and evaluating all aspects of programs.

School or agency supervisors seldom have full control over the financial resources for programs they administer. However, they should participate actively in budgeting since it affects program operations for which they are held directly accountable. A knowledge of budgeting is necessary in the expanding roles of many administrators, which may include activities such as grant writing, developing contracts with other organizations, and community fund-raising.

How does one prepare a budget? When tackling it for the first time, budgets often look quite complex. The language is foreign, the funds seemingly never adequate, and the format confusing. However, there are some general guidelines which enable new supervisors to gain some understanding of this important planning tool.

Organizations generally use one of three systems of financial accounting, line-item budgets, program planning budgeting, and zero-based budgeting. Each budgeting system will be reviewed in the following section, with an example of its format provided. Additional discussion of these budgets and their implementation in human service settings can be found in Hall (1982), Slavin (1985), and Sorensen et al. (1983).

Line-item budget. Developed at the turn of the century, the line-item budget categorizes expenditures involved in operating an organization (Figure 5). Preparing this budget requires identifying all *fixed costs* (e.g., building expenses, utilities, insurance) as well as *variable costs* (e.g., salaries, office supplies, travel, benefits) for a given operating period. The budget displays total expenses in each category, usually on an annual basis. Actual monthly or quarterly allocations can be displayed on *interim financial statements.*

The major limitation of a line-item budget is that it does not distinguish among specific program costs. The supervisor thus has no information on

which expenditures are related to direct service, administration, or supportive services. Line-item budgets fail to make clear the relationship between input (money/resources) and output (services rendered), a serious limitation when evaluating programs. This drawback has led to the evolution of more differentiated forms of financial accounting in many organizations.

Planning, Programming, and Budgeting System (PPBS). During the 1960s, the U.S. Defense Department initiated a planning and budgeting system that has been adopted by all federal and many state programs. The budget component of PPBS identifies costs associated with every activity of an organization (Figure 6). Allocations are displayed for each specific program component. Fixed and variable expenses directly related to every activity are calculated for the budgeting period.

PPBS budgets permit calculation of the *cost per hour of service* by dividing total expenses of an activity (input) by the number of service hours provided (output). PPBS budgets thus help supervisors monitor how much is spent on all aspects of a given activity within their program. Future allocations can be based upon the direct relationship between costs and services, a more accountable system than the line-item budget reviewed above.

Criticism of PPBS budgets center on arguments that they (1) serve to perpetuate existing programs, and (2) are nondiscriminating. This means that future funding requests, often in 3 to 5 year increments, are based on the current budget adjusted for inflation. PPBS budgets do not prioritize which program activities are most critical to the organization's mission. Funding cutbacks, often the reality in human services, thus render these budgets vulnerable to across-the-board reductions that can undermine optimal programming.

Zero-Based Budgeting (ZBB). A recent refinement to PPBS budgeting is the introduction of zero-based budgeting, a format that requires every program within an organization to justify its own existance (Figure 7). Starting from a base of zero funding, various options and their consequences are forecast in a series of *decision packages*. These decision packages (a) describe discrete program activities at various levels of implementation, (b) present costs and benefits at each level, and (c) rank levels in order of priority based upon this cost/benefit analysis. Input and output are designed to be clearly related in all budget requests, and programming priorities can be set using acceptable operating levels for each decision package.

ZBB has gained popularity in a variety of settings for its flexible programming options. As with the other budget formats, ZBB has some limitations in human service settings. Measuring specific outcomes is difficult for many counseling activities. Also, those most in need of services (costs) often will not show immediate improvement (benefits) from those services, thus faring poorly in a short-term cost/benefit analysis. Finally, ZBB requires considerable time to prepare, thus needing an organizational commitment to implement.

Policies in Action: Program Implementation

In addition to need assessments and budgeting, administrative responsibilities may include developing new programs. Supervisors certainly have the task of coordinating efforts within existing programs. This section addresses practical aspects of program development, scheduling, and time management.

Program development. Program development involves making policy decisions that translate ideas into action and link these activities with the overall organizational mission (Gibson et al., 1983). With community needs identified, and a commitment made to modify existing programs or develop new services to meet those needs, supervisors benefit from some framework to implement resulting program activities.

Two comprehensive program management systems previously mentioned (PPBS and MBO) include guidelines for program development. Gibson et al. (1983) describe how these approaches can be adapted for schools, while Carter and Newman (1976) pose considerations for mental health settings. Both PPBS and MBO identify a procedure of sequential program development activities that include the following:

1. Conduct a needs assessment to identify programming priorities.
2. Define goals and objectives resulting from specific needs identified above.
3. Develop program activities to meet these goals, described in terms of expected outcomes.
4. Identify resources including personnel, budget, and facilities for program.
5. Establish a method to identify target populations to receive this program.
6. Coordinate the program with other organizational activities and scheduling.
7. Develop criteria and methods to provide feedback and evaluate the program's effectiveness.

Scheduling. Once a new program has been developed, it must be integrated into the existing schedule. Sometimes this poses no problem, more typically it becomes a task of balancing time, space and priorities in creative ways. Administrators quickly learn the need for organization, and find schedule books or flowcharts indispensable. Graphic methods of illustrating staff activities are recommended aids in coordinating tasks, time,

and personnel. Two flowcharts useful for supervisors in human service settings are described below, and may be reviewed more fully in Austin (1981).

Gantt Chart. This flowchart (Figure 8) provides a timeline for completing specific program objectives, displaying the various tasks linked to these objectives. It is helpful in scheduling routine monthly or yearly activities, as it shows temporal relationships between related tasks. Gantt charts are often used to fit new activities into an existing schedule. They are also useful in planning program feedback and evaluation schedules.

Program Evaluation and Review (PERT) Chart. A pictoral graph of interdependent tasks helps in scheduling activities that require the sequential efforts of several staff members. PERT charts (Figure 9) display objectives, tasks and relationships among tasks simultaneously, noting several timelines for completing each task. This scheduling aid is particularly useful for special projects in which deadlines are an important concern.

Time Management Strategies. Program administration requires that supervisors "think on their feet" much of the time. Research into how managers use time suggest that the average interval devoted to one issue is about *nine minutes* (Mintzberg, 1975)! Given this reality, it is evident that the ability to clarify goals, prioritize tasks, and delegate responsibility are critical skills of effective supervisors.

Central to all of these skills is effective time management. Lakein (1973) and Oncken and Wass (1974) emphasize an awareness of personal goals and decision-making style as a first step in gaining control of one's time schedule. They present a variety of practical strategies to manage time constraints in organizational settings. Among suggestions relevant to program administration are the following (Lakein, 1973; Oncken and Wass, 1974):

1. **Limit staff-imposed time** by encouraging staff to take initiative in resolving problems as they arise (e.g., delegating tasks, group problem-solving).

2. **Keep a schedule** in which you prioritize time spent on an activity in relation to importance of that task.

3. **Coordinate activities** to coincide with your moods and energy (e.g., if you work best in the morning, plan high concentration tasks then).

4. **Protect transitions** (e.g.,coffee breaks, lunch) to avoid the fatigue which hinders productivity.

5. **Some tasks are better left undone**—don't get bogged down by tasks that may resolve themselves without your intervention, or that are highly unlikely to be solvable.

6. **Avoid escapist behaviors** when you have important tasks to complete; instead plan to reward yourself upon completion of them.

7. **Divide difficult or lengthy tasks** into smaller objectives to maintain a sense of accomplishment and momentum.

8. **Save trivial tasks** for one block of time so that you don't constantly distract yourself from more important pursuits.

Accountability Through Program Evaluation

Program planning and implementation does not occur in a vacuum. As noted earlier, it should be initiated by needs of the community. Human service organizations are increasingly held accountable in demonstrating that they meet targeted community needs. This is accomplished through either internal or external program evaluation.

No-one particularly likes evaluation, and administrators are no exception. Yet evaluation is central to organizational growth. Without knowing the current status it is hard to set meaningful goals for the future. Effective administration includes collecting, analyzing, and interpreting data by which to assess (1) service needs, (2) patterns of use, (3) program outcomes in bringing about desired change, and (4) the cost/benefit ratio of services offered (Posavac & Carey, 1985).

Organizational motivation to evaluate programs varies. It might come from a need to respond to legal or community mandates. It may reflect efforts to find solutions to internal problems, or a commitment to improve program management (Cox, 1982; Posavec & Carey, 1985; Theobald, 1985). The outcome in each case, however, is a positive step toward eliminating "management by crisis" through ongoing feedback about *who* is offering *what* services to whom, *when* and *how* this occurs, and *how much* it costs in relation to *benefits gained*.

The following guidelines for supervisors provide a general overview of steps in an evaluation process. Additional sources for reading in this area include Cox (1982), Coursey (1977), Landsberg, Neighor, Hammer, Windle, and Woy (1979), Madaus, Scriven, & Stufflebeam (1983) and Theobald (1985).

Readiness for Evaluation. Prior to planning an evaluation, there must be a procedure for operationally describing a program. Some form of recordkeeping and a method of summarizing information about the program, staff work loads, and clientele should be in place.

In counseling setting clinical records are sensitive, given the need to protect privacy of client data. A common way of handling this is to assign case numbers to demographic forms, and have coded progress forms completed by each counselor during treatment. These forms may be reviewed without perusing an entire clinical file. Computerized accounting

systems allow rapid retrieval of coded data from these records for various assessments of the program and clients.

Selecting an Evaluator. Site review teams, outside consultants or, less frequently, in-house evaluators have responsibility for program evaluation in most human service settings. Where the organization has some control over who will be examining it's programs, credibility is a prime concern. Because the evaluation process is likely to evoke resistance to change, evaluators should possess the personal skills and credentials to gain respect at all levels of the organization.

There are a number of criteria to look for in hiring or selecting a program evaluator. Cox (1982) cites the following as important: formal training in evaluation methods, good computer skills, knowledge of experimental design as well as qualitative research techniques, competence in the administrative and counseling tasks to be evaluated, and excellent interpersonal skills.

Steps in Planning Evaluations. There are three major evaluation strategies (Coursey, 1977). *Efficiency evaluations* look at the ratio of program costs to outcomes. *Outcome or summative evaluations* examine the extent to which client improvements can be attributed to program intervention. *Formative, process, or patterns-of-use evaluations* describe and assess actual daily program operations. The choice of a particular strategy should be geared to specific needs. Posavac and Carey (1985) describe sequential steps in planning evaluations which help in selecting an appropriate evaluation strategy:

1. Identify key people who are personally involved in the program (including sponsors, director, staff, program committees, clients).

2. Arrange meetings with these people to discuss who wants the evaluation, what information is desired and why, and timelines and resources available to carry this out.

3. Assess whether evaluation is feasible given the needs, goals, resources and outcome measures available at this time.

4. Conduct a literature review to gain knowledge of similar evaluation efforts, any methodological or political difficulties entailed, and potentially useful designs, measures, and analyses.

5. Select an evaluation strategy taking into consideration sources of data collection, measures to be used, appropriate design and analyses, and potential ethical issues in your setting.

6. Develop a written proposal in which all aspects of the project are specified with timelines and cost analyses.

Conducting Evaluations. Information collected in an evaluation will vary with the strategy selected. Figure 10 illustrates data collection methods for each of the evaluation strategies identified above.

In addition to these sources of information, data can be collected using one or a combination of measures. These include case studies, written questionnaires, surveys, program ratings by significant others, interviews, behavioral observations, and standardized testing (Posavac & Carey, 1985; Theobald, 1985; Windle, 1984). Program evaluation designs for mental health settings are described by Landsberg et al. (1979), and by Madaus et al. (1983) for school settings.

Important aspects of program evaluation include preparing interim and final reports of all procedures and findings; providing specific feedback to those who participated in data collection or who will be effected by proposed changes; and working with staff at all levels to implement recommendations (Madaus et al., 1983; Theobald, 1985). Frequent, open communication addressing staff and management reactions to recommended changes are a critical component of successful evaluation efforts.

General guidelines for program evaluation have recently been standardized by a collaborative of educational and psychological organizations (Joint Committee on Standards for Educational Evaluation, 1981). Several manuals are available that provide direction for each step in the evaluation process. The new supervisor planning an evaluation is referred to the following comprehensive sources for specific program evaluation procedures: Atkisson, Hargreaves, Horowitz, and Sorensen (1978); Fink and Kosecoff (1978); and Theobald (1985).

Summary: Program Development and Accountability

Human service programs require some degree of administrative coordination. When this occurs in a 'management by crisis' atmosphere, both the organization and its clients are poorly served. Long-range planning provides the framework and accountability to manage diverse services effectively.

This chapter examined basic approaches to program planning and administration. Needs of the community and organizational structure provide parameters for planning. Budgeting, scheduling, and efficient time management render complex, inter-related programming efforts manageable for the supervisor. Ongoing program evaluation serves to monitor the quality and effectiveness of program activities.

Program administration skills complete the circle of supervisory competencies addressed in this text. Not all ideas presented will be practical in a given setting. Certainly the former counselor will face various challenges in adapting to his or her new role as administrator. Beyond acquiring specific skills, one's attitude and flexibility in developing an effective managerial style are keys to this transition.

Given this complex internal as well as behavioral transition process, there is a need for graduate training courses to prepare counselors for supervisory roles. Such courses would help students acquire the attitude and ability to plan, organize and coordinate programs, and sharpen their human relations skills to provide leadership and support to staff. These competencies are at the core of managerial effectiveness.

This text presents an integration of ideas useful in developing such courses. However, the lack of theory and training models in counseling administration remains blatant. Our profession needs to support the growing number of counselors choosing administration as a career path by designing, implementing, and researching (1) theories of supervisory administration, (2) models for graduate training, and (3) outcome measures of supervisory effectiveness.

Figure 5. Kent High School Guidance Department: Line-Item Budget

1. VARIABLE COSTS

Personnel

Salaries
- Director _____
- Counselors (3) _____
- Psychologist (¼) _____
- Secretary _____

Benefits
- Health Insurance _____
- Life Insurance _____
- Retirement Plan _____
- Unemployment Ins. _____
- Social Security _____
- Professional Dues _____

TOTAL

Operating Expenses

- Publications _____
- Subscriptions _____
- Career Materials _____
- Testing Protocols _____
- Continuing Educ. _____

Office Expenses

- Supplies _____
- Telephone _____
- Repairs _____
- Photocopying _____
- Computer Supplies _____

TOTAL _____

2. FIXED COSTS

- Building Expenses _____
- Equipment
  - Typewriters _____
  - Computer _____
  - Furniture _____
  - Copy Machine _____

TOTAL _____

TOTAL VARIABLE COSTS _____

TOTAL FIXED COSTS _____

Figure 6. Kent High School Guidance Department: PPBS Budget

ACTIVITY	Administration	Salaries	Benefits	Supplies	Office Expenses
Class Scheduling					
Occupational Testing					
Standardized Testing					
Individual Counseling					
Group Counseling					
Crisis Intervention					
Consultation					
Guidance Classes					
College Prep Interviews					
Career Information					
TOTAL COSTS					

Figure 7. Kent High School Guidance Department: Zero-Based Budget

Program Title: Emergency 24-Hour Telephone Hotline

Goals:
1. To provide crisis intervention to students.
2. To identify and refer troubled students

Decision Packages	Cost	Benefit	Rank	Evaluation
A. Hotline with recorded message				
B. Hotline with student volunteers				
C. Hotline with paid paraprofessionals				
D. Hotline with on-call counselors				
E. Hotline with fulltime counselors				

Consequences of Nonapproval of Program:

Figure 8. Gantt Scheduling Chart

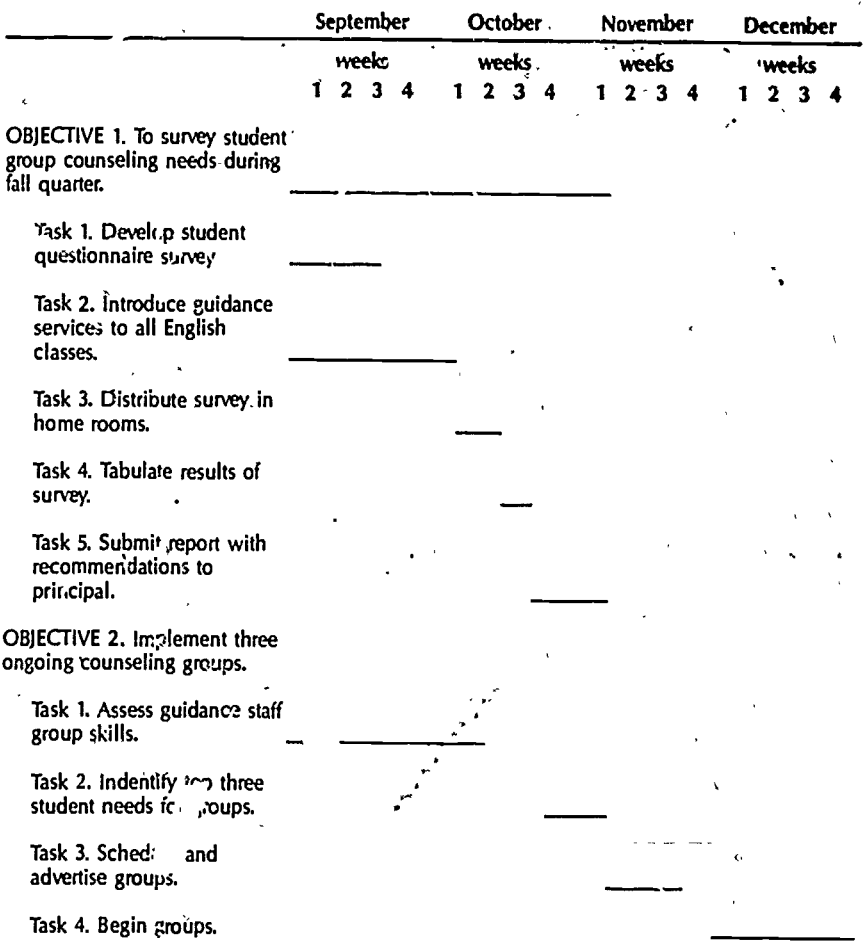


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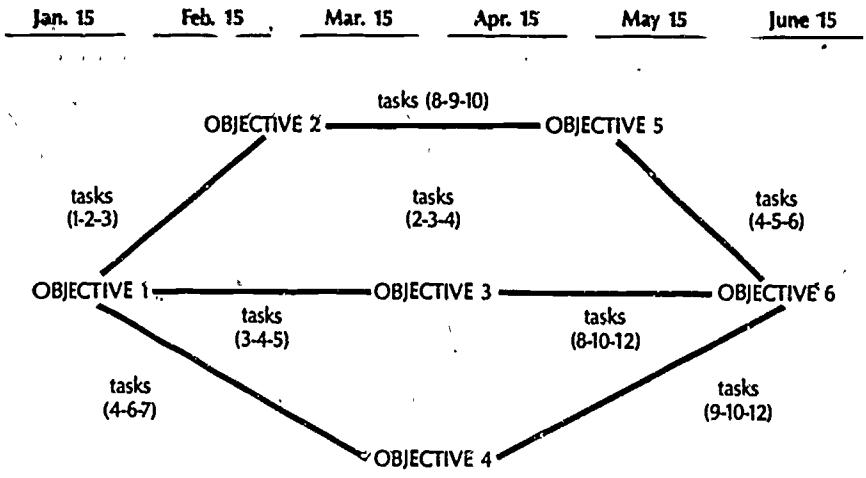
Figure 9. Pert Scheduling Chart



Time Frame for Completion in Weeks (2-3-4)

2=optimal
3=realistic
4=conservative

Objectives	Staff Assignments
Obj. 1 _____	_____
Obj. 2 _____	_____
Obj. 3 _____	_____
Obj. 4 _____	_____
Obj. 5 _____	_____
Obj. 6 _____	_____

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Figure 10. Data Collection Strategies for Program Evaluation

Strategy	Population Demographics	Program Goals/Objectives	Client/Student Information	Usage Patterns	Staff Activities	Fiscal Information
Patterns of Use						
Rates of service use by population subgroups	X		X	X		
Estimate of service needs from needs assessments	X		X	X		
Availability and awareness of programming	X	X	X	X	X	X
Profile of usage			X	X	X	
Measures of client or student movement through counseling service			X	X		
Continuity of care			X	X	X	
Cost Effectiveness						
Cost-outcome analysis			X	X	X	X
Time studies					X	X
Outcome/Quality Control						
Client Satisfaction		X	X			
Treatment Outcome Measures			X			
Retrospective Case Reviews			X	X	X	X
Client Follow-up studies		X	X	X		

Reprinted with permission from author. Landsberg, G., Neigher, W.D., Hammer, R.J., Windle, C. & Woy, J.R. (1979). Evaluation in practice. A sourcebook of program evaluation studies from mental health care systems in the United States. MD. Department of Health, Education and Welfare.

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