THE CEDPA TRAINING MANUAL SERIES

SUPERVISION

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The Centre for Development and Population Activities

S U P E R V I S I O N

The CEDPA Training Manual Series
Volume IV

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INTRODUCTION

Supervision is the fourth volume in The CEDPA Training Manual Series. It was produced by the Training Division of The Centre for Development and Population Activities (CEDPA) with support from the United Nations Population Fund (UNFPA). It compiles training activities that CEDPA has used in many programs to strengthen the training capacity of health, family planning, and other development organizations.

Rationale

People become supervisors for a number of reasons, but rarely because they have received formal schooling or training in the practice of supervision. The best supervisors are able to experiment with different approaches and systems that lead to increased program impact and efficiency. They remain open to new ideas while heeding the lessons learned from experience and reflection. But even the best supervisors will never have all the answers to issues involving human relations and human resources management.

This training manual is based on the premise that there is no one approach to supervision and no one solution to a supervision problem. We learn about supervision from research, from the experiences of others, and from our own experiences. This kind of learning is best pursued in a workshop setting with peers and trained facilitators. This manual contains sessions that will encourage and assist the supervisor to reflect on experiences, to explore concepts from research, and to plan for action. An open-minded approach to difficult situations and a serious review of actions once they are taken will lead to better supervision.

Purpose

The manual is intended for use by those who train supervisors within governmental and nongovernmental organizations working in development. It provides step-by-step procedures for conducting a five-day workshop on Supervision, but it does not attempt to cover all issues related to that topic. Some sessions may be expanded to suit the particular training needs of the supervisor, and others may be shortened or omitted. If there are time constraints to conducting a full five-day workshop, users of this manual are encouraged to conduct a needs assessment and adapt only the most useful sessions from the manual. Likewise, trainers or managers can use one session at a time to focus on a particular issue during a half-day meeting, for example, team building or motivation. This manual can also be used as a reference book for supervisors.

Because every training situation is different and each training program must address the special needs of participants, trainers using this manual are encouraged to assess learner needs and then adapt the sessions accordingly.

Methodology

This manual provides methods for trainers and managers who provide training and coaching to supervisors. It uses interactive, learner-centered methods, based on the principles of adult learning: that learners want to participate in the learning process, to learn from their experiences, to be challenged, and to draw their own conclusions from learning experiences. This manual is based on the assumption that adults generally assimilate only what they find useful and that they want to be able to apply their new knowledge and skills. Through a variety of structured and unstructured learning situations and techniques, CEDPA's approach to training draws on the trainees' experiences and provides them with opportunities for reflection, development of new insights, and application of these insights in practical situations. The participatory exercises encourage the sharing of ideas and active problem-solving in order to hone skills in critical and analytical thinking.

Experience Base

CEDPA is a non-profit international development organization founded in 1975. Its mission is to empower women at all levels of society to be full partners in development. CEDPA's comprehensive development strategy includes training, innovative community-based projects, partnerships with local organizations, and collaboration with training alumni in project implementation and institution building. Most programs are designed and managed by women to promote positive change for women.

CEDPA's Washington, D.C., and regional training programs have enabled more than 3,700 women and men from 118 countries in Africa, Asia, Eastern Europe, Latin America, and the Middle East to develop new skills in leadership, management, and institution building. Alumni include leaders of private voluntary organizations and governmental and non-governmental agencies and medical professionals, youth workers, and educators.

The Washington-based workshops are conducted regularly in English and French, and periodically in Spanish, Russian, and Arabic. "Institution Building: Strategic Management for the '90s" (IB) focuses on management skills such as strategic planning, resource expansion, and financial systems and includes a mentor program. "Women in Management: Leadership Training for the '90s" (WIM) focuses on women's roles and challenges and includes sessions on gender awareness, leadership styles of women and men, and strategies for managing groups. Regional workshops are conducted in collaboration with alumni organizations and have included training in project design, supervision, gender issues, evaluation, policy advocacy, strategic planning, and training of trainers (TOT).

This manual is the result of many years of experience in training at Washington and in-country Supervision workshops. Sections of the manual have been tested at regional workshops in Bangladesh, India, Pakistan, Nepal, and Tanzania, and in CEDPA's Washington, D.C., workshops. Participants in all workshops received it enthusiastically, and their suggestions and feedback have been incorporated into the final design.

ACKNOWLEDGMENTS

Development of the **Supervision** manual has been made possible by a grant from the United Nations Population Fund (UNFPA). We wish to express our sincere appreciation for UNFPA's support of this manual and for their long-term support of many of CEDPA's training activities over the years.

Ralph Stone of CEDPA designed and developed most of the sessions and handouts in this manual. Stacey Lissit has recently tested sessions in India and has reviewed the final version. Seema Chauhan and Taly Valenzuela played a key role in testing the original version in workshops in Bangladesh and Tanzania. We would like to acknowledge the contribution of Marjorie Signer, who edited the final version, as well as the contributions of Adrienne Allison, Phyllis Craun-Selka, Ketty Jaramillo, Kirsten Sherk, and Paul Stewart.

CEDPA especially appreciates the contributions of alumni trainers and workshop participants in Bangladesh, India, Nepal, and Tanzania.

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HOW TO USE THE MANUAL

The manual is organized into eight sessions which build upon each other in terms of information and are sequenced in logical presentation order for an actual training workshop. Each session has the following components:

Title - identifies the main topic of the session.

Learner Objectives - describe what the participant will be able to do by the end of the session to demonstrate increased knowledge, improved skills, or attitudinal change.

Time - indicates the approximate amount of time the session will take.

Session Overview - provides a breakdown of the session into sub-topics, including the time allocation for each sub-topic.

Materials - lists the materials that will be required for the session.

Handouts - indicates handouts for the session. Handouts are at the end of each session.

Steps - provides specific instructions to the trainer about how to conduct the session. Sessions are designed to move participants through the four components of the experiential learning model: **experience**, **reflection**, **generalization**, and **application**. The **experience** is an exercise or participatory presentation in which useful information is brought forth for discussion and learning. The **reflection** component helps participants ponder and analyze new information and develop their ideas about a topic. **Generalization** allows participants to draw broader conclusions and lessons about the new information, while **application** enables them to apply the generalizations to a new situation, or think about how they might apply their new skills or use their new knowledge in the future. Often, components of the cycle are repeated within sub-topics in a session.

Tasks - appear in boxes within each session. A task provides the instructions participants need to do their group work. The trainer may copy the tasks on a flipchart.

Trainer's Notes are written in italics. They may include expected or possible responses to a question, definitions, or other key points that the trainer should try to elicit during the session. In some cases, they refer the trainer to a handout which provides more detailed information on a topic.

Preparation - indicates arrangements the trainer needs to make prior to the session.

WORKSHOP OVERVIEW

Goal: To develop the knowledge, skills, and awareness of supervisors for more efficient supervision systems and for more effective approaches to supervision.

Day	Sessions	Objectives	Time
1	1. What Is Supervision?	Note: This first day usually begins with an opening ceremony, introductions, and a workshop overview, none of which are outlined in this manual.	
		To introduce participants to the supervisor's functions and to identify issues in supervision	2 hrs., 30 min.
2	2. Styles of Supervision	To create awareness of personal styles in supervision and develop more democratic approaches	3 hrs.
	3. Organizational Design	To develop a basic understanding of organizational structure and accountability	3 hrs.
3	4. Job Descriptions	To enable participants to design and use job descriptions	3 hrs., 15 min.
	5. Team Building	To explore and practice techniques for analyzing and improving team effectiveness	2 hrs., 15 min.
4	6. Performance Appraisal	To enable participants to develop and use performance appraisal as a means to improving performance	4 hrs.
	7. Motivation	To help participants understand motivation from a personal perspective and to develop their role as supervisors in enhancing motivation	3 hrs.
5	8. Monitoring and Evaluation	To introduce and develop monitoring tools and techniques in the process of supervision	2 hrs., 30 min.
	9. Planning for Better Supervision	To guide participants to analyze and plan for improved supervision effectiveness in the organization	3 hrs., 30 min.

SESSION ONE

WHAT IS SUPERVISION?

Learner Objectives

By the end of this session, participants will be able to

1. Assess their own strengths and weaknesses as supervisors
2. Define supervision, describe the major responsibilities and functions of a supervisor, and explain the relationship of supervision to the functions of management
3. Identify organizational factors that support effective supervision

Time

2 hours, 30 minutes

Session Overview

A. Self-Assessment as a Supervisor . . . . .1 hour
B. Defining Supervision . . . . .1 hour, 30 minutes

Materials

Newsprint and markers for each participant
Workshop Goal and Objectives (on newsprint)
Workshop Daily Schedule (on newsprint)

Handouts

1A Supervision and Management

A. Self-Assessment as a Supervisor (1 hour)

Step 1 Greet participants and introduce yourself.

Step 2 Explain that in order to present and discuss the content of the workshop, the participants will first need to reflect on their own qualities as supervisors.

Step 3 Divide participants into four small groups of approximately four to six members. Present the following task:

> **TASK #1**
>
> 1. Individually, think about a typical supervision situation you have had.
>
> 2. Identify your strengths and weaknesses as a supervisor in that situation, and share with other group members.
>
> 3. As a group, draw one picture that depicts the strengths and another that shows the weaknesses of group members in a typical supervisory situation.
>
> Time: 20 minutes

Step 4 Ask each group to present its pictures. As each group presents, use the following questions to stimulate discussion:

- What are some of the strengths you see in the group's pictures?
- What are some of the weaknesses?

Step 5 As the answers are given, develop two lists, one for strengths, and one for weaknesses. Title the list of strengths "The Effective Supervisor" and the list of weaknesses "The Ineffective Supervisor."

Step 6 Point out that many in the group share the same strengths and weaknesses, although differences do exist. Ask how the group might benefit from the differences.

Answer: We can learn from each others' strengths and weaknesses as we discuss our experiences.

B. Defining Supervision (1 hour, 30 minutes)

Step 1 Divide participants into groups of four to six members. Pass out the Handout 1A, Supervision and Management. Present the five functions of a manager and ask each group to discuss differences between a manager and a supervisor in terms of responsibilities and activities within each of the functions. Allow 10 minutes.

Step 2 Have each group report out. Point out that there is much overlap in duties. Ask what the differences are.

Possible responses: A supervisor has a narrower span of control, smaller planning role, less power, and lower level in hierarchy and is closer to front line workers.

Remind participants that in smaller organizations, one individual often has both a managerial role and a supervisory role. Ask if this is the case in any of their organizations.

Step 3 Ask participants to return to their four groups. Assign one of the following questions to each group. Allow about 20 minutes for discussion.

Question 1: What must exist within an organization for effective supervision to occur?

Question 2: What are some approaches for effective supervision?

Question 3: What are some tools that supervisors can use to be more effective?

Step 4 Ask each group to present the results of its discussion. Following are possible responses for each group.

Question 1: What must exist within an organization for effective supervision to occur?

Possible responses: Defined lines of authority; resources/budget for supervisory activities; commitment to effective supervision at the top;

standards/guidelines/procedures for supervisors; training for supervisors; system for collection and feedback of information.

Question 2: What are some approaches for effective supervision?

Possible responses: Develop a team approach to supervision; establish objectives together with team members; conduct meetings with the whole team to look at problems and how to solve them; define roles and responsibilities together; visit the field with specific tasks as often as possible; provide positive feedback/praise to staff—request feedback on own performance.

Question 3: What are some tools that supervisors can use to be more effective?

Possible responses: Job descriptions; checklists; policy manuals; procedure manuals; registers and records; reports; charts and graphs; action plans; workplans; training materials; research studies; books and articles on human resources development.

Step 5 Review the workshop schedule to show when the issues that have come up during this session will be addressed.

SUPERVISION AND MANAGEMENT

MANAGEMENT FUNCTIONS

1. Planning

Planning is making decisions about which courses of action to follow. It includes the following activities:

Establishing objectives to determine the end result;
Developing strategies to determine how to reach objectives, by when, and by whom;
Preparing budgets to determine the cost of using resources;
Establishing policies to have standing decisions on recurring situations;
Establishing standards to ensure continued quality of services and products.

2. Organizing

Organizing is developing relationships and allocating responsibilities within the organization. It includes the following activities:

Developing organizational structure to establish accountability within the organization through clear reporting and supervising relationships;
Establishing teams that work together to reach objectives;
Establishing job descriptions to ensure that roles and responsibilities are clear;
Determining staff activities to carry out work plans.

3. Staffing

Staffing is filling positions within the organizational structure. It includes the following activities:

Recruiting people with appropriate qualifications for positions in the organization;
Orienting new people to their positions to help them learn about their responsibilities, the relationships within the organization, the organization's goals and objectives, and the culture of the organization;
Providing training when necessary to upgrade people's skills.

4. **Leading**

Leading means encouraging people to act purposefully toward the organization's mission and program objectives. It includes the following activities:

Motivating so that people feel positive about their responsibilities;
Delegating to assign responsibilities to people and to be able to adapt to changes within and outside of the organization;
Managing conflict to make sure that differences are addressed and effective working relationships are developed;
Managing change to encourage creativity and flexibility in achieving program objectives;
Communicating information so that people have the information they need to perform their work effectively and efficiently.

5. **Controlling**

Controlling means managing activities to ensure progress toward the program objectives. It includes the following:

Establishing a management information system (MIS) to make sure appropriate information is collected in an efficient manner;
Measuring progress of project by comparing the current situation with established goals and objectives;
Submitting reports to account for project activities and finances;
Monitoring performance to document the way people carry out their responsibilities;
Providing feedback to people on a regular, informal basis, including positive feedback and constructive criticism;
Conducting performance appraisals to formally assess the way people work and extent to which they produce results, and to give them feedback about their work;
Adjusting plans to respond to changes in the internal and external organizational environment.

DIFFERENCES BETWEEN A SUPERVISOR AND A MANAGER

- **Planning and organizing:** Supervisors spend less time planning and organizing at the macro-level. For example, a supervisor does not play as great a role as a manager in determining future program directions and developing the organizational chart.

- **Staffing:** Managers play a greater role in staffing at the administrative level, while supervisors may play a greater role in staffing at the service delivery level. This will vary greatly from one organization to another, depending on the size of the organization and the extent to which decentralization has occurred.

- **Leading:** Managers and supervisors lead in different ways. Supervisors show leadership in the day-to-day operations of the organization because they have more interaction with service providers than managers do. Both managers and supervisors need to establish and develop effective working relationships with those who report to them, requiring skills in motivation, delegation, and communication.

- **Controlling:** Supervisors spend much more of their time controlling than managers do. This requires having and using more technical skills than a manager. A supervisor is frequently in contact with the front-line people, and she or he needs to be able to provide technical support to them when it is needed.

SESSION TWO

S T Y L E S   O F   S U P E R V I S I O N

Learner Objectives

By the end of this session, participants will be able to

1. Analyze different approaches to supervision
2. Describe two different assumptions that influence an individual's approach to supervising others
3. Describe two different supervision styles

Time

3 hours

Session Overview

A. Two Different Approaches . . . . 1 hour, 30 minutes
B. Developing a Supervision Style . . . . . . 1 hour, 30 minutes

Materials

Newsprint
Markers
Trainer's Guide for "The Choice Is Yours"

Handouts

2A The Choice Is Yours
2B Autocratic and Participatory Supervisors
2C Ten Commandments of Supervision

Preparation

Read the Trainer's Guide for "The Choice Is Yours"

A. Two Different Approaches (1 hour, 30 minutes)

Step 1 Explain that in the next activity, participants will read a case study that describes two different styles of supervision. After reading the case, each participant will have a chance to defend one of the supervisory styles in a brief debate with another participant. Participants will be asked to defend either style, whether they agree with that style or not.

Step 2 Distribute Handout 2A (the case study, The Choice Is Yours) and ask for a volunteer to read it aloud.

Step 3 To begin discussion and debate on approaches to supervision, place two chairs facing each other in the front or middle of the room. Label one chair "Bola" and the other chair "Chris," the names of the two supervisors in the case study.

Step 4 Ask for two volunteers to sit in the chairs and start the debate. The person in the chair labeled "Chris" must defend his or her supervisory style and the one in the "Bola" chair must defend his or her style.

Allow each pair 2–3 minutes to debate their positions. When the time is up, ask for two more volunteers to replace the two in debate. If possible, each participant should have a turn to participate in the debate.

Step 5 Lead a discussion about the case study using the questions that appear at the end of the case.

B. Developing a Supervision Style (1 hour, 30 minutes)

Step 1 Explain that people often distinguish between two types of supervision styles: *autocratic* and *participatory*. These terms refer to the extent to which a supervisor consults with supervisees in the decision-making process. Distribute Handout 2B, Autocratic and Participatory Supervisors, which describes the two styles.

Step 2 Divide the participants into four small groups. Ask two groups to think about what it is/was like to be supervised, and ask the other two groups to think about what it is like being a supervisor.

Step 3 Present the following task:

TASK #1

1. From your assigned perspective of a supervisor or a supervisee, identify situations when you/your supervisor acted in a participatory manner. Share these experiences with your group.

2. Identify other situations when you/your supervisor could have been more participatory. Share these experiences with your group.

3. Have a recorder in the group develop two lists (one for each of the above), and be prepared to present to the large group.

Time: 25 minutes

Step 4 Have the four groups post their lists on the wall. Ask each group to present its list without going into a lot of detail about each situation. Begin with the two groups that examined the supervisee's perspective.

Step 5 Use the following questions to encourage discussion:

- What kinds of participatory situations do the groups have in common?
- What kinds of non-participatory situations do the groups have in common?
- Are there any differences between the lists developed from the supervisor's perspective and those developed from the supervisee's perspective?
- Looking at the lists of non-participatory situations, what are some of the reasons for the supervisor's approach?

Step 6 Provide a synthesis of this session by highlighting the advantages of a participatory style (also referred to as a democratic style). Distribute Handout 2C, Ten Commandments of Supervision. Ask for a volunteer to read it aloud. Explain to participants that this session looked at many aspects of supervision and that they will study some of these aspects in more depth over the next five days.

THE CHOICE IS YOURS
A Case Study

You are the Director of the Maternal and Child Health (MCH) Division of the Ministry of Health and Welfare (MHW) and you are trying to decide between two candidates for the position of MCH Supervisor. The MCH Supervisor will be responsible for 31 Health Units in the Forest Zone.

The Health Units are staffed by young doctors who are completing their social service duties. They serve in the units for one year.

The MCH Supervisor is to visit each unit once or twice a month and observe MCH consultations. In the Forest Zone, family planning coverage is low and you want the new supervisor to stress family planning in the MCH consultations. During a recent visit to this area, the Minister of Health and Welfare noted:

> Family Planning is not a high priority in the Units. Often there isn't time left for family planning or there are problems getting contraceptive supplies or the doctors are not interested. The supervisor should be taking this situation in hand. She must improve communications between the units and MCH central office.

The first candidate was Dr. Chris. She had been with MHW for nine years, first in charge of the mobile units and then as Medical Director of the Coastal Zone. Recently, she had been Medical Director in an urban clinic. Dr. Chris said:

> The role of a supervisor is to see that technical standards are followed. We have a Manual of Procedures that covers family planning consultations, but many doctors do not follow the rules. They say that there are special conditions that make it impossible to follow the rules.
>
> I know one doctor who distributed eight cycles of pills when the manual says a maximum of three. Doctors will not follow the rules if the supervisor is not watching.
>
> Supervisors must also report to the Central Office regularly. I always wrote a summary of my weekly activities and sent a copy to the Director so he would know about the problems in the units.

> It is unfortunate that a supervisor cannot take action against people who do not follow the rules. He can only report them.

The second candidate was Dr. Bola. She was young and had worked with the MHW for only two years after finishing her social service in a small unit in the Forest Zone. She had served in the Northern Zone and unofficially acted as MCH Supervisor because there was no supervisor there. She said:

> The supervisor is almost the only contact that the rural doctor has with the outside world. It is the supervisor who must give the doctor moral and material support.
>
> Rural doctors are very responsible and want to give the best service they can. The supervisor must help them solve any problems they have.
>
> Supervisors should motivate their staff by recognizing their good work. This gives them moral support and encourages them to go on when they get discouraged.
>
> Doctors are very independent. They will not do something because it is in the manual unless there are medical reasons for it. If the supervisor does not try to understand their point of view and help them solve their problems, they will not listen to him.

You have a difficult decision to make because the new supervisor will make a long-term impact on MCH services in the Forest Zone.

DISCUSSION QUESTIONS

1. The two candidates differ in a number of ways. Describe how they differ with respect to:

    - their beliefs about how people are motivated
    - their assumptions about the way people behave
    - their perceptions of the role/responsibility of a supervisor
    - their thoughts about how supervisors should relate to and interact with staff

2. Describe how the two supervisors might act during a visit to a Health Unit.

3. If you were the person in charge of hiring, which candidate would you select? Why?

4. Which supervision style is most common among supervisors you have encountered?

5. If most people agree they would select Bola, why are most supervisors like Chris?

ANALYSIS OF DISCUSSION QUESTIONS

1. The two candidates differ in a number of respects. Describe how they differ with respect to:

   - how they believe people are motivated
   - their assumptions about the way people behave
   - their perception of the role/responsibility of a supervisor
   - how supervisors should relate to and interact with staff

   Possible responses:

   Dr. Chris
   - *people are dishonest*
   - *supervisors need to control and watch over staff*
   - *people will not follow rules*
   - *supervisor needs to report on people to higher levels*
   - *staff should never deviate from rules/procedures*
   - *people should be punished if they break rules*

   Dr. Bola
   - *people want to do a good job*
   - *supervisors should help solve problems*
   - *staff need to be recognized*
   - *sometimes there are legitimate reasons not to follow rules*
   - *supervisors must provide information and resources*
   - *supervisors need to see both points of view when a discrepancy exists*
   - *supervisors should be oriented towards people's needs*

2. Describe how the two supervisors might act during a visit to the Health Unit.

   Possible responses:

   Dr. Chris
   - *adversarial*
   - *non-supportive*
   - *looks for problems and violations*
   - *impatient with questions and requests*
   - *would prepare detailed report of problems and forward to authorities*

Dr. Bola

- *helpful*
- *consultative*
- *review past reports to see where improvement is needed and progress has occurred*
- *share new ideas or information*

3. If you were the person in charge of hiring, which candidate would you select? Why?

4. Which style is most common among supervisors you have encountered?

5. If most people agree they would select Bola, why are most supervisors like Chris?

   Possible responses:

   - *poor training in supervisory skills*
   - *job descriptions reinforce notion of "enforcing" the rules*
   - *cultural expectations of how supervisors should behave*
   - *organizations do not support or encourage Bola style of supervision.*

THE CHOICE IS YOURS

In discussions with various groups of health program supervisors, a basic contradiction about supervision appears. All supervisors choose Dr. Bola as the better candidate. And yet most supervisory personnel in programs around the world talk and act more like Dr. Chris. It appears that most supervisors would prefer to behave like Dr. Bola but in reality find it easier to slip into the pattern of Dr. Chris. We will return to the reasons for this contradiction later.

Different Assumptions

The importance of assumptions about people in determining supervisory behavior comes out very sharply in this case. Dr. Chris seems to believe that people, if not watched and controlled, will try to subvert the established organizational procedures or “commit infractions.” Her attitude is that people are untrustworthy and vigilance is required.

She also makes some assumptions about the jobs of the clinic personnel. In her view the requirements of their jobs have been completely spelled out in the formal standards and procedures of the program. Hence their job is simply to carry out these procedures as described. Dr. Chris further assumes that there is a natural tendency for people to become sloppy about rules and consequently feels the need for sanctions to force compliance.

Dr. Chris’s view of the functions of a supervisor flow directly from these assumptions. They include:

- Keeping clinic personnel aware of the rules and procedures and the errors they have committed.

- Informing the people at higher levels of the organization of the clinic personnel’s infractions of the rules.

- Applying sanctions (or getting others to apply them) to those who refuse to comply with the rules.

Dr. Bola’s views present a sharp contrast to Dr. Chris’s. Dr. Bola assumes that on the whole people are trying to do a good job within their understanding of the purposes of the program. She also assumes that they need and want help in solving problems and are stimulated by recognition for their achievements; hence she assumes her personnel welcome her visits as opportunities for help and stimulation. She sees her source of authority lying not in her power to exercise sanctions but in the willing acceptance of those she supervises. Finally she assumes that her personnel exercise judgment in their jobs: they are concerned about their clients and the procedures are only a means to the end of serving their clients. When they do not adhere to rules, she assumes they may have legitimate reasons which should be explored and in some cases conveyed to higher authorities.

From these assumptions we can see that Dr. Bola views a supervisor as fulfilling the following functions:

- Helping clinical personnel diagnose and solve problems.

- Providing moral support and recognition to sustain motivation, particularly to those in remote locations who may feel isolated and forgotten.

- Providing information that will help personnel better perform their jobs and persuading them to comply with program policies by explaining the reasons for them.

- Conveying legitimate concerns of clinic personnel to higher organizational levels and using this awareness of problems at the operating level to influence policies.

In comparing Dr. Chris and Dr. Bola it would be easy, at first glance, to characterize Dr. Chris as task-oriented and Dr. Bola as people-oriented. But a closer look would show that neither characterization is accurate.

Dr. Chris is oriented to rules and procedures—not to the ultimate task to be accomplished. That is, she assumes that a doctor who gives out more than three cycles of pills at a time must be behaving irresponsibly. It never occurs to her that the doctor might be acting out of a sense of how best to meet the needs of the particular client. Dr. Bola, while oriented to her personnel, has not forgotten the task to be accomplished. She views her function as more than providing moral support, extending to problem-solving and guidance to see that the job is accomplished.

Different Approaches

Although we have no direct data on how these two women would act when visiting a clinic, we can infer from their statements that they would act quite differently from one another. Dr. Chris's visit might be characterized as an inspection. In her observations and questions, she would probably concentrate on trying to find out what rules were being violated. She would probably spend a good deal of time going over the records to see whether the forms were properly completed and the rules followed. We would expect that a doctor who attempted to question a procedure would be answered with impatience and skepticism about his/her motives. All errors would be recorded and submitted to various authorities with a copy sent back to the clinic so the clinic director would be clear that the authorities had been notified of his/her inadequacies.

It would not be surprising if clinic personnel greeted such visits with about as much enthusiasm as a visit from the tax collector. This type of supervisor is an adversary. Personnel are well advised to act by the book when she is here. The less she knows the better. Never mention any problems. The longer the time between her visits the better.

What a contrast we would expect with Dr. Bola. If she holds true to her philosophy, the focus of her visit would be on identifying what the clinic personnel perceive to be their major needs and problems so that she can provide appropriate assistance. She would probably review with them the reports on their operating statistics and discuss conditions which supported or inhibited the level of performance achieved. She would probably look for things to praise. She might have some new ideas or techniques to pass on, or a report on some action taken as a result of a discussion during a previous visit. To the extent that procedures and standards are discussed, it would be in the context of how they relate to the goals of the program. She would be alert to opportunities to learn from local experience as well as to teach. Most clinic personnel would look forward to a visit from Dr. Bola, which would leave them feeling appreciated and supported.

An Easy Choice

So, whom would we choose as a supervisor? Clearly, Dr. Bola. Not only would we expect her style to produce the best results consistent with what we hope the program will achieve, but she also seems to have the more relevant experiences. While Dr. Chris has been with the MHW considerably longer than Dr. Bola, most of her experience was in heavily populated or urban areas. In contrast, Dr. Bola’s experience was with isolated rural health units similar to those in the Eastern Zone. This choice may not be immediately accepted by Dr. Chris’s colleagues. Many are likely to feel that Dr. Chris’s seniority gives her the right of first refusal. She undoubtedly has developed various friendships within the Ministry and might try to cause trouble if she feels offended. We would accept this risk.

Why Aren’t All Supervisors Like Dr. Bola?

Since nearly every supervisor who has studied this case has chosen Dr. Bola, why is it that we don’t find more supervisors who use Dr. Bola’s style? There are a variety of reasons:

- **Lack of Training**: Few supervisors have received effective training to prepare them for supervisory responsibility. To the extent that any training is offered, the emphasis is usually on medical technique. Consequently the new supervisor has to figure out what her job entails. Since forms and job descriptions are likely to be the most obvious indicators of what people are supposed to be doing, she is likely to focus on these. Additionally, many supervisors assume that both subordinates and superiors expect them to behave in a style similar to Dr. Chris’s.

- **Mistaken Assumptions About Personnel**: Clinic personnel similarly suffer from a lack of training about anything other than the medical procedures. This is compounded by a lack of supervision that could help them see the variety of ways in which they could affect program achievement. As a result, they may do a poor job and appear apathetic. It is easy to conclude that this behavior results from defects in their basic motivation rather than defects in the program and its administration. As a result, Chris-style supervision may appear to be the only appropriate style for this common situation.

- **Greater Demands**: A supervisor using Dr. Bola’s style probably has to work a lot harder though she is likely to enjoy her work much more. A Chris-type supervisor can write her report and forget the problems of the clinic just visited. A Bola-type will have to do such things as make arrangements to get supplies, fill a vacant staff position, arrange some special training, try to get an inappropriate policy reviewed, and plan additional follow-up visits.

- **Lack of Authority**: Many organizations are not responsive to Bola-style supervisory behavior. Supervisors are often not given authority to actually provide help or use their knowledge of operating problems to influence program policies. They may not even be given a choice as to the scheduling of their clinic visits. In these situations the supervisory role becomes essentially irrelevant, and the supervisor is bound to behave in dysfunctional ways.

- **Lack of Role Models**: The lack of Bola-style supervisors makes it unlikely that new supervisors will behave in this manner, since they will have no role models to follow.

We believe that most supervisors would prefer to function in the basic style of Dr. Bola, and that given adequate support and encouragement they can do so. We also believe that the basic principle that supervision is most effective when subordinates see it as supportive is universally applicable to family planning programs. The precise approach to supportive behavior will vary from culture to culture, but the concept itself is simply good management. Applying the concept, of course, is not easy. Particularly difficult is the problem of supervising doctors, who, as Dr. Bola points out, tend to be very independent.

Adapted from *Casebook for Family Planning Management* (1986), by Frances F. Korten and David C. Korten. Boston: The Pathfinder Fund.

AUTOCRATIC AND PARTICIPATORY SUPERVISORS

Autocratic Supervisors	Participatory Supervisors
Make decisions mostly on their own and then announce them to others.	Consult with others before making a decision. Sometimes the decision may be a group decision.
Have a great need for control; unwilling to take risks.	Are willing to delegate and to take reasonable risks.
Enforce decisions according to established standards or their own view. Permission to bypass norms must be approved in all cases.	Use standards as guidelines but trust subordinates to bypass norms in unusual situations and adjust accordingly without necessarily asking for approval first.
Focus on the final product—they are much more task-oriented.	Focus on the way people work together—they are much more process-oriented.
Use primarily punitive actions (fear) to maintain discipline.	Use mostly positive reinforcement (motivation, incentives) to maintain discipline.
Don’t feel the need to listen to others or bring subordinates into discussions.	Encourage discussion; spend a lot of time listening to others.

TEN COMMANDMENTS OF SUPERVISION

Try following these Ten Commandments of supervision.

Commandment No. 1: ***Thou shalt involve thy people in planning their work.***

The first step toward effective supervision is to involve your workers in the planning process (formulating the plan of work). If they have a say in the planning, then they will be more committed to carrying out the plan.

Commandment No. 2: ***Thou shalt communicate plans with all concerned.***

Make certain that plans, targets, activities, and expected end-results are clearly communicated to all concerned. A work plan serves this purpose well. Following its preparation, circulate copies; hold meetings to discuss it.

Communication should be directed upward, downward, and laterally in the organization. Communicate externally as well, obtaining involvement, understanding, and commitment where needed from the other sectors.

Commandment No. 3: ***Thou shalt assign responsibilities, and let thy subordinates know what is expected of them.***

Assign responsibilities and make certain that everyone understands who is responsible for what. No single action can help you more to be an effective supervisor. Your workers must know what they are responsible for, and what is expected of them.

A work plan provides a record of who is responsible for each program and activity.

Commandment No. 4: ***Thou shalt always link supervision with work.***

Supervision should be clearly linked with the work to be done, and then followed by a fair evaluation of the performance of that work.

Commandment No. 5: ***Thou shalt provide for feedback.***

Provide wide-open channels for feedback. Listen to your subordinates and associates.

Set up mechanisms for obtaining feedback (meetings, planning conferences, evaluation or post-mortem reviews, personal visits to the work station of the individual, channels for the expression of grievances, one-to-one conferences, etc.).

Commandment No. 6: ***Thou shalt play a supportive supervisory role. Thou shalt not play a punitive role.***

In direct supervision of workers assume a supporting, helpful role, rather than a punitive and disciplinarian role. Supervision should be a means for strengthening your workers, helping them do a better job, improving their skills, and building their image among their co-workers and those they serve. Build them up! Don’t knock them down.

Commandment No. 7: ***Thou shalt make on-the-job training an integral part of your supervisory role.***

When visiting your workers at post, make it a point to observe their performance, offer help, and suggest ways to improve. Hold brief meetings when you make your rounds to introduce new procedures or to pass on a new idea developed by another unit. From time to time bring your workers together in a central location for a one- or two-day workshop.

Commandment No. 8: ***Thou shalt be in touch with subordinates on a frequent and regular basis.***

Make your rounds frequently. See every person under your supervision at least once every two weeks; see some more frequently, depending on the nature of the work and location.

It is very demoralizing for workers to be left by themselves, seemingly ignored, out of touch with the rest of the system. Your contacts show interest; your interest will go a long way toward boosting morale and opening channels for feedback. Your visits will present opportunities for on-the-job training.

Above all, communicate with your people! Meet! Talk! Circulate!

Commandment No. 9: ***Thou shalt delegate.***

Delegation is a sign of a good manager. Work should always be performed at the lowest possible level in the organization consistent with ability and authority. Assigning work from higher levels to lower levels relieves higher level (and higher paid) talent to concentrate on more long-term issues. It also serves to enlarge and enrich the job of the subordinate.

A cardinal principle to follow—push work down!

Don't be afraid to delegate because you think your subordinates can't do the task as well as you can. Have confidence in their ability to perform. It's not fair to assume that they can't do the job right until given the chance.

A note of warning—delegation does not mean that you should avoid working yourself. Rather, it means that you will be freed of certain lesser tasks so that you can spend your time focusing on the future.

Commandment No. 10: ***Thou shalt be firm and fair, and share mutual respect with thy employees.***

Most of these commandments suggest a humanistic approach to supervision, i.e., understanding, support, and consideration of the employee's point of view.

But it is equally important to be firm in making decisions that affect employees and taking disciplinary action when required. If such actions are done fairly and only when all the facts are in hand and all sides of the question heard, then they will be respected and supported by the other employees.

Firmness, fairness, and mutual respect are essential elements of a good supervisory style.

SESSION THREE

O R G A N I Z A T I O N A L   D E S I G N

Learner Objectives

By the end of this session, participants will be able to

1. Explain the importance of accountability for decision-making in the organization
2. Construct an organizational chart for their own organization and locate their own place in it
3. Describe their units' span of control and the extent of centralization with regard to decision-making

Time

3 hours

Session Overview

A. Establishing Accountability . . . . .30 minutes
B. Control in the Organization . . . . .30 minutes
C. Organizational Charts . . . . .2 hours

Materials

Newsprint
Markers
Four sample organizational charts, either as handouts or on newsprint or transparency

Handouts

3A Organizational Design

A. Establishing Accountability (30 minutes)

Step 1 As a warm-up exercise, assign one of the following to each of the four groups formed in the previous session: a lion, a tree, a computer, and a race car. Explain to them they are going to think of what they have been assigned as a metaphor for an organization. Ask the group what a metaphor is to make sure everyone understands.

A metaphor is a figure of speech in which a word or phrase ordinarily and primarily used to describe one thing is applied to another. For example, you can say that an organization is like a warm fire on a cold night because it brings people together for discussion and exchanges of ideas, and at the same time it depends on those people to keep it under control and to keep it going.

Step 2 Ask each group to take a minute and think of how to describe an organization using the object they have been assigned.

You may think of other metaphors to replace or add to those mentioned in Step 1, such as a turtle, a school, a kitchen, etc.

Step 3 Have each group present its organizational metaphor. When everyone has reported out, explain that in this session they are going to look at the organization in terms of a structural hierarchy, focusing on the people in the organization and their hierarchical relationships. Present the session's objectives.

Step 4 Ask the group to explain the difference between an organization and a simple group of people.

Possible responses: An organization has a more formalized structure that exists over time, regardless of whether or not the people in it remain. An organization has a stated purpose and a more formal system designed to achieve its purpose. It has rules and regulations to control its members and to establish accountability.

Step 5 Ask the participants why an organization should be concerned about accountability among its workers.

Possible response: An organization needs to have assurance that everyone working for it is contributing to the organization's purpose (or the mission).

Step 6 Ask some additional questions that focus on accountability, such as:

- What would an organization be like if there were no accountability?
- Would you like to work in an organization like that? Why or why not?
- What would an organization be like if there were too much emphasis on accountability?
- What would be some of the problems of a supervisor in that kind of organization? Of a subordinate?

Step 7 Summarize by saying that without a system of accountability, there would be chaotic or random activity within the organization. On the other hand, an over-emphasis on accountability might reflect a lack of trust and too much control and might restrict creativity and innovation.

Explain that participants are going to look at organizational charts as an important tool for establishing accountability for decision-making within the organization. First, you will discuss some key terms.

B. Control in the Organization (30 minutes)

Step 1 Present on a flipchart the two organizational shapes as they appear in Handout 3A, Organizational Design. Ask the participants how they are different.

Possible responses:

- *one is taller than the other*
- *one has more levels*
- *on the taller chart, there are fewer people per layer*
- *on the shorter chart, each supervisor has more subordinates*

Step 2 Explain that the shorter, wider shape is an organization with a *horizontal* shape, and the taller, narrower one is an organization with a *vertical* shape. Ask the participants which one is most likely to have managers in a better position of closely controlling subordinates?

Possible responses: The vertical organization might be described as more control-oriented because each supervisor has relatively few *subordinates. There doesn't appear to be very much independence at any level, judging from the number of people on a "team." On the horizontal chart, however, there appears to be more interdependence at the same level and less control from above. The supervisor in the horizontal organization has less time to spend with each subordinate because there are more of them.*

Step 3 Write the phrase "Span of Control" on the flipchart. Explain that a supervisor's span of control can be determined in part by the number of workers reporting directly to him or her. Referring to the diagrams, ask the participants to describe the span of control in each, according to the number of direct subordinates.

Possible response: The supervisors in the horizontal organization have a greater span of control because they are directly responsible for more people.

Step 4 Write "centralized decision-making" and "decentralized decision-making" on the flipchart. Ask the participants for definitions of each and write them down.

Possible responses:

- *Centralized decision-making—decision-making is retained by higher level managers*
- *Decentralized decision-making—decision-making has been granted to middle and lower level positions in the organization*

Step 5 Ask participants to brainstorm why some organizations are centralized and why others are decentralized. List responses on a flipchart.

Possible responses:

- *Centralized—less deviation from standards, the supervisor needs to make more decisions and have more control*
- *Decentralized—subordinates are authorized to make decisions on their own, they need to be more autonomous to adapt to their environment, decision-making needs to take place more quickly*

Step 6 Discuss the advantages and disadvantages of each type of authority, referring to Handout 3A, Organizational Design.

C. Organizational Charts (2 hours)

Step 1 Explain that participants will now have a chance to draw their own organizational charts in order to analyze the extent to which their organizations are centralized or decentralized. Present Task #1:

> **TASK #1**
>
> Draw a chart showing the positions of employees in your organization. If you work in a large organization, draw only your unit or division.
>
> Time: 30 minutes

Step 2 Ask for two or three volunteers to present their charts. Ask the other participants the following questions about the charts as they are presented:

- Is the span of control small or large?
- How do you (the presenter) feel about your span of control?
- Does it appear that decision-making is centralized or decentralized?
- How do you (the presenter) feel about the degree of decentralization?

Step 3 Divide the participants into groups of three and present the following task:

TASK #2

Discuss your organizational charts with the other two persons in your triad. Use the following questions as a guide:

- What kinds of decisions are made at the level of supervisees?
- What kinds of decisions are made by supervisors?
- What kinds of decisions are made by senior level managers?
- Which decisions can be decentralized to a lower level?

Time: 30 minutes

Step 4 Ask each group to report on the general findings of its discussion. Ask participants what some of the difficulties are in decentralizing decision-making in their organizations, but focus on the benefits of decentralized decision-making.

Step 5 Summarize the discussions from this session and ask participants what they feel they have learned.

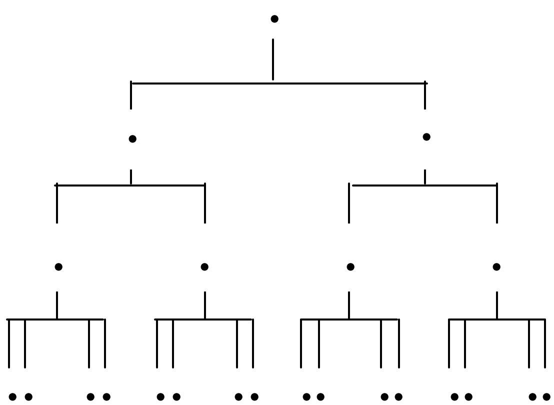
ORGANIZATIONAL DESIGN

SOME CHARACTERISTICS OF ORGANIZATIONS THAT AFFECT SUPERVISION

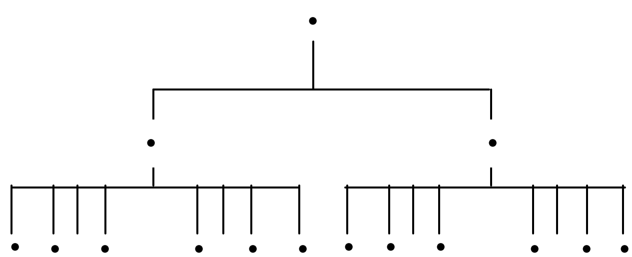
Shape

Shape refers to the hierarchy in an organization.

Vertical



Horizontal



Vertical (tall) organization: Has narrow spans of control and requires many levels of management.

Horizontal (flat) organization: Has wider spans of control and requires few levels of management.

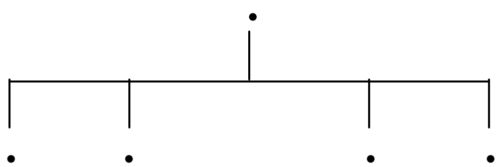
Organization Structure: Mechanisms that serve to coordinate and control activities of organizational members.

Coordination: The process by which task and departments are interrelated in order to achieve organizational goals.

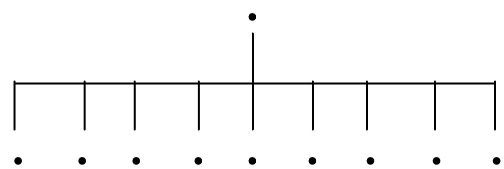
Span of Control

Control refers to the regulation of activities in a manner that will enable members to predict and stabilize relationships within the organization. *Span of Control* refers to the number of subordinates reporting to a single supervisor. Span of control is related to the size and shape of an organization. Increasing the number of administrative levels in an organization will reduce a supervisor's span of control. Decreasing the number of levels will widen the span of control.

Narrow



Wide



Narrow Span of Control: Supervisor is responsible for only a few workers. He or she has more to spend with each worker.

Wide Span of Control: Supervisor is responsible for many workers and has little time to spend with each one.

Centralized vs. Decentralized Decision-Making

Decision-making may be centralized, at the top of an organization, or it may be shared, decentralized. This can be determined by asking: Where in the organization are key decisions made? By whom? Who controls the allocation of resources needed to produce goods and services.

Pattern of Authority is a characteristic related to decision-making. Authority is the right of a member to make decisions without having approval from another member in the organization.

Centralized Authority	Decentralized Authority
Exists where decision-making is retained by higher level managers.	Exists where decision-making has been granted to middle and lower level positions in the organization.
Ensures less deviation from standards. Important when tight standards of performance are required.	Decision will tend to vary more and not adhere specifically to prescribed standards. They will generally reflect the individual situation or need.
Allows for more information in final decision-making (information funnels into one place).	Decisions may not have benefit of all available information.
General decisions take longer to make.	Generally permits decisions to be made more rapidly.

SESSION FOUR

JOB DESCRIPTIONS

Learner Objectives

By the end of this session, participants will be able to

1. Develop a job description that will assist to recruit, orient, and assess the performance of a team member
2. Describe various uses of a job description
3. Draft the job description for their own position

Time

3 hours, 15 minutes

Session Overview

A. Tower Building Exercise . . . . .45 minutes
B. Job Descriptions . . . . .1 hour, 15 minutes
C. Supervisor's Job Description . . . . .1 hour, 15 minutes

Materials

Newsprint and markers for each participant
For each group, a package containing six or more large pieces of poster board or cardboard, one roll of tape, scissors, and ruler

Handouts

Copies of two or three job descriptions from participants' organizations or local organizations

Preparation

Be sure to use a room large enough for the tower building exercise.

Write Team 1, Team 2, Team 3, or Team 4 on slips of paper; there should be one slip for each participant, and teams should be equal in size.

Collect and copy two or three different job descriptions from local organizations or from participants for everyone to review.

A. Tower Building Exercise (45 minutes)

Step 1 Greet participants and explain that they will take part in an exercise that will provide a context for exploring key issues in supervision. During the exercise, each team will try to build the tallest tower.

Step 2 To divide participants into teams, have each person draw a number from a hat. The number picked indicates that the participant will be on Team 1, Team 2, Team 3, or Team 4.

Step 3 Ask the participants to regroup into teams according to the number they have chosen. Each team should choose a team leader.

Step 4 It is important for each team to develop a sense of group identification. Ask each team to choose a category: for example, flower, vegetable, or animal. Each team should choose a name for itself and for each individual member from its category.

Step 5 Ask each group to present its new name and the names of the team members. Explain that everyone must address each other by their new names for the duration of the tower building exercise.

Assigning names to everyone helps to de-personalize issues that may arise during the game, and it encourages participants to have fun.

Step 6 Provide each team with a packet of materials they will use to build a tower. They should check the contents but not touch the materials:

- One pair of scissors
- One roll of tape
- One ruler
- Six (or more) large sheets of poster board (or cardboard)

Step 7 Explain that, over the course of the next few days, they will play three rounds of this tower building game. This morning they will take part in Round 1. The timing for Round 1 will be as follows:

Planning and Designing Phase—15 minutes
Building Phase—8 minutes

Explain that the goal is to build the tallest tower. During the planning phase each group will discuss *how* to build a tower, and during the building phase they will construct their towers. The winner of Round 1 will be the team with the tallest tower.

Step 8 Write on a flipchart the following rules for the game:

1. During the planning stage, no written plans are allowed and no materials may be touched. Planning must take place only through discussion.

2. All members must address each other using the given names.

3. Build the tower on the floor *without* using any additional support other than the materials provided. The tower must be free-standing and not taped to the floor.

4. Keep to time limits.

Explain that the team leader will decide how the planning meeting will be run. After Round 1, everyone will discuss how the team worked as a group during the exercise, including how the members and the team leader played out their individual roles. Ask the group if there are any questions about how to play the game.

Step 9 If there are no questions, instruct participants to begin planning and designing. Keep track of time so that this phase does not exceed 15 minutes. Give participants a warning periodically to remind them of how much time they have left.

Step 10 After 15 minutes, tell the teams to stop planning and begin building their towers. Keep track of time so that the tower-building phase does not exceed 8 minutes. Give participants a warning periodically to remind them of how much time they have left.

Step 11 After 8 minutes, tell everyone to stop building and to stand away from the towers, even if they have not completed their work. Congratulate everyone for the amount of effort they put into their work. Before you announce the winner of Round 1, remind them that they will have another chance to build their towers. Say something positive about each team and each tower, and encourage everyone to applaud as each team is recognized. Lastly, announce the winning tower and applaud the team for their work.

Step 12 Process the exercise by asking questions such as the following:

- What was it like to build the tower?
- What did you enjoy about the game?
- What was difficult about it?
- What worked well?
- What could have gone better?

Encourage all groups to participate in the discussion. For example, if one team member describes a certain event or circumstance, ask other teams if the same thing happened with them.

B. Job Descriptions (1 hour, 15 minutes)

Step 1 Explain that before Round 2, each team will be able to recruit a new team member, but they will lose one who will be recruited by another team. Before recruiting a new member, though, they need to develop a description of that person's job. Ask them to think about what might have been missing from the team work during the tower building exercise, so that the new person could fill an identified need.

Step 2 Present the following task to the participants:

TASK #1

1. As a group, determine the following parts of your new team member's job description:

    - job title
    - who the person reports to
    - one sentence summary of the job
    - a list of major duties and responsibilities, briefly indicating how and why the person does each

2. List this information on a flipchart.

Time: 20 minutes

Step 3 Ask each team to present their new job description to the larger group. Encourage questions and comments.

Possible questions to ask:

- *Is the description clear?*
- *Are the duties and responsibilities within the scope of the job summary?*
- *Is the title appropriate?*
- *Is it clear who is accountable for that person's work?*
- *Do the duties indicate what responsibilities the person has to others in the team?*

Step 4 Instruct each team to identify and recruit a person from another team before the next session begins. Each team may recruit anybody from any other team as long as only one person is recruited from any one team.

Step 5 Ask the participants to suggest the reasons why a job description might be useful in managing human resources. List responses on a flipchart.

Possible responses:

- *to inform employees of their duties and responsibilities*
- *to provide clear expectations of job performance*
- *to distinguish jobs in one unit from one another*
- *to establish accountability*
- *to determine wage or salary levels*
- *to enhance team work through mutually agreed responsibilities*

C. Supervisor's Job Description (1 hour, 15 minutes)

Step 1 As a synthesis of preceding sessions and this session, explain that participants will develop their own job descriptions. This will enable them to ensure that their job descriptions incorporate the functions of a supervisor described in Session 1.

This assumes that the participant is primarily a supervisor. Participants who are not supervisors can be paired with those who are.

Step 2 Present the following task:

TASK #2

1. Draft a job description for your own position, focusing on your role as a supervisor.

2. Share your job description with three others so that they may give you feedback.

Time: 45 minutes

Step 3 Ask a few volunteers to read their job descriptions. Encourage additional feedback from others.

Step 4 Use the following questions to initiate discussion about the job descriptions participants have developed for themselves:

- *Are there any differences between your job descriptions and the functions of a supervisor discussed in Session 1, "What is Supervision?"*
- *Would you have written your job description differently before this workshop?*
- *Do you carry out many duties that we would not consider as supervision?*
- *Does the job description you've just developed differ from your formal job description at your organization?*

Step 5 To wrap up, ask participants what new insights they have gained about the purpose and utility of job descriptions. What are some of the things they may change once they return to their jobs as supervisors?

SESSION FIVE

T E A M   B U I L D I N G

Learner Objectives

By the end of this session, participants will be able to

1. Identify characteristics of effective teams
2. Analyze group dynamics as a team member
3. Use specific skills and techniques to increase team effectiveness in an organization

Time

2 hours, 15 minutes

Session Overview

A. Broken Squares Exercise . . . . 1 hour, 15 minutes
B. Assessing Team Effectiveness . . . . 1 hour

Materials

Index cards
Broken squares
Tower building materials

Handouts

5A Broken Squares Exercise
5B Assessing Team Effectiveness

Preparation

Make two sets of the Broken Squares puzzle from thin cardboard or heavy paper. Cut the squares on the lines. Keep the sets separate.

A. Broken Squares Exercise (1 hour, 15 minutes)

Step 1 Group participants in the same teams used during the tower building exercise.

Step 2 Explain that it is important to identify the kinds of situations in which team building is important in an organization. Ask the participants to brainstorm on the question: “When do you work in teams in your organization?” List their responses on a flipchart.

Possible responses: During the proposal writing process; project planning sessions; planning and implementing an evaluation; preparing a publication or a report; planning and implementing any major activity (such as a mass media campaign); discussing current issues related to project implementation.

Step 3 Tell participants that a game called Broken Squares will let them experience the benefits of working as a team.

Step 4 Ask for 10 volunteers to form two groups of five each. Each of these groups will play the game. The others will be observers.

Step 5 Give each team a set of five square puzzles. From this, each player should be given three pieces chosen at random. They will need to exchange some of their pieces with others in the group in order for each person to form a perfect square.

Step 6 Present the following task:

TASK #1

1. Place the pieces of the puzzle in front of you. During the exercise, each player needs to form his or her own square so that the group has five squares.

2. The following rules must be observed:
   - *Team members may not speak*
   - *Team members may not signal each other for a piece of the puzzle*
   - *Members may give pieces to each other*

3. Observers should see that the rules are followed. Observers may speak only if they are reminding players of the rules; otherwise, they should not interfere.

Time: 15 minutes

Step 7 Make sure that the participants understand the rules of the game. Stop the game after 15 minutes, even if the teams have not completed the puzzle.

Step 8 Reconvene the large group for a discussion of the game. Include both the players and the observers in the discussion, using the questions in Handout 5A, Broken Squares Exercise, as a guide.

Step 9 When you get to the last question, make a list of "Lessons Learned" and post it in the room for reference. Distribute Handout 5A so that participants can use it as a team building tool in their own organizations.

Step 10 Discuss how team building relates to supervision.

B. Assessing Team Effectiveness (1 hour)

Step 1 Explain to the participants that they will have the opportunity to apply some of the lessons they learned about groups in the broken squares activity during Round 2 of the tower-building exercise.

Step 2 Before Round 2 begins, ask each group to disassemble the tower it built during Round 1. Once the towers are disassembled, verify that each group has all the required materials to build a tower, and nothing more. Remind everyone of the rules of the game and present the new time limits for planning and for building in Round 2:

Planning and Designing Phase—10 minutes
Building Phase—6 minutes

Step 3 Instruct participants to begin planning and designing. Ensure that planning does not exceed 10 minutes. Give participants a warning periodically to remind them of how much time they have left.

Step 4 After 10 minutes, tell the teams to stop planning and begin building their towers. Ensure that the tower-building phase does not exceed 6 minutes. Give participants a warning periodically to remind them of how much time they have left.

Step 5 After 6 minutes, tell everyone to stop building and to stand away from the towers, even if they have not completed their work. Congratulate everyone on the effort they put into their work. Before you announce the winner of Round 2, remind them that they will have another chance to build their towers. Say something positive about each team and each tower, and encourage everyone to applaud as each team is recognized. Finally, announce the winning tower and applaud this team for their work.

Step 6 Process the exercise by asking questions such as the following:

- What was it like to build the tower during this round?
- Was it easier or more difficult?
- What did you notice about the way your group worked together during this round? Describe any differences from the way you worked together during Round 1.
- Do any of the towers look different? Why?
- What worked well?
- What could have gone better?

Encourage all groups to participate in the discussion. For example, if one person describes a certain event or circumstance, ask other teams if they experienced anything similar.

Step 7 Explain that they will now have a chance to evaluate the way their group works as a team. Distribute Handout 5B, Assessing Team Effectiveness, and go through each of the indicators on the questionnaire. As you look at each of the indicators, ask questions such as the following:

- Why is it important to consider [this element] of team effectiveness?
- What happens to the group if [this element] is not very strong?
- What effect can a lack of [this element] have on an individual in the group?

Step 8 After each indicator has been discussed, ask everyone to complete the questionnaire rating his or her group's effectiveness. This rating should be done individually before each group discusses the ratings.

Step 9 Have each group tally all the individual ratings for the group and determine the average rating for each indicator.

Step 10 Present the following task to the participants:

TASK #2

1. In your teams, discuss ratings your team members have given the group.

   - Was there consensus about the ratings or did you find some differences?
   - What indicators got the highest ratings?
   - Why were those ratings high?
   - What indicators got the lowest ratings?
   - Why were those ratings low?
   - What can the group do to improve team effectiveness?

2. Prepare a short report for the large group about what you have learned about team effectiveness.

Time: 30 minutes

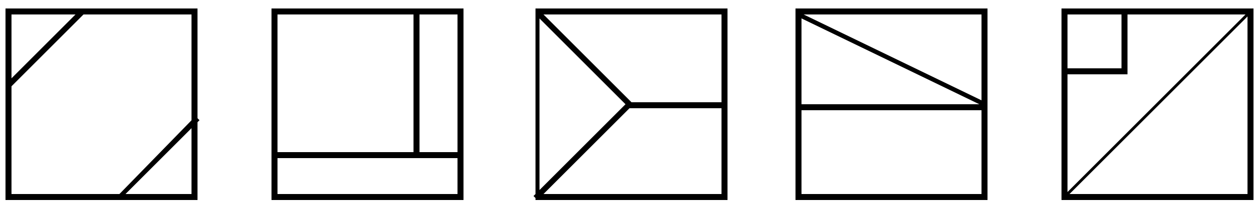
Step 11 Ask each group to give a brief report on what they learned from their self-evaluation.

Step 12 To conclude the session, ask participants to identify activities that leaders can carry out to increase team work and reduce barriers to team effectiveness in their own organizations. Each participant should write three team-building activities on three separate index cards.

Step 13 Ask participants to post their cards on the wall with cards naming similar activities. For example, group all the cards together that pertain to "Developing Trust."

Step 14 Have participants comment on the team-building areas they feel need the most work when they return to their organizations.

BROKEN SQUARES EXERCISE



PROCEDURE

1. Give each team a set of five square puzzles. From this, each player should be given three pieces chosen at random. They will need to exchange some of their pieces with others in the group in order for each person to form a perfect square.

2. The following rules must be observed:
   - *Team members may not speak*
   - *Team members may not signal each other for a piece of the puzzle*
   - *Members may give pieces to each other*

3. Observers should see that the rules are followed. Observers may speak only if they are reminding players of the rules; otherwise, they should not interfere.

4. The team has 15 minutes to form the squares.

5. After 15 minutes, the facilitator stops the game and leads a discussion about the game.

DISCUSSION QUESTIONS

About the exercise

- What was it like trying to form these squares?
- Was anyone willing to give away all of their pieces?
- Did anyone tend to keep pieces rather than give them to others?
- Did anyone break any rules?
- Did anyone seem frustrated?
- What were some of the sources of frustration?
- What did you do when you were frustrated?
- Did the group begin to cooperate at any critical point?
- Was the task a collection of individual problems or was it a group problem?
- Did anyone finish the puzzle and then leave the group?
- Was there a critical point where team work or productivity seemed to change?
- Did anyone help others during the task? How?

Generalizations

- What happens to the team when one person finishes and stops working on the team problem?
- What happens if you ignore another person's task?
- Is team work usually as difficult as it was because of the rules of the game?
- Why do most people become frustrated in team work?

About work in your own organization

- What have you noticed in your own organizations that you have noticed during this exercise?
- Did you notice any similarities in issues we've raised here and issues that may have come up during the tower building exercise?
- What have we discussed that can make us more effective as teams during the next round of tower building?
- What lessons can we draw from this exercise about how we can be more effective as team members?

ASSESSING TEAM EFFECTIVENESS

Use the following indicators of team effectiveness to assess the extent to which your group works as a team. For each indicator, circle the number that corresponds to your assessment of the group (1 is the lowest rating; 10 is the highest rating).

When you have given a rating for each indicator, add the total of the numbers you have circled. Divide the total by 11 to determine the overall average score you have given your group.

1. The group designates a facilitator for meetings and discussions.

Never									*Always*
1	*2*	*3*	*4*	*5*	*6*	*7*	*8*	*9*	*10*

2. An agenda is presented before a meeting begins; goals and objectives are clear.

Never									*Always*
1	*2*	*3*	*4*	*5*	*6*	*7*	*8*	*9*	*10*

3. The facilitator makes sure that everyone has an opportunity to contribute to discussions.

Never									*Always*
1	*2*	*3*	*4*	*5*	*6*	*7*	*8*	*9*	*10*

4. Each member speaks for him/herself and allows others to speak for themselves.

Never									*Always*
1	*2*	*3*	*4*	*5*	*6*	*7*	*8*	*9*	*10*

5. **The group tolerates differences, acknowledges disagreements when they occur, and addresses them openly.**

Never									*Always*
1	*2*	*3*	*4*	*5*	*6*	*7*	*8*	*9*	*10*

6. **Members ask clarifying questions or use paraphrasing to make sure they understand each other.**

Never									*Always*
1	*2*	*3*	*4*	*5*	*6*	*7*	*8*	*9*	*10*

7. **Members show trust and cooperation and allow for creativity and compromise.**

Never									*Always*
1	*2*	*3*	*4*	*5*	*6*	*7*	*8*	*9*	*10*

8. **Resources within the group (i.e., the knowledge and experiences of members) are used effectively.**

Never									*Always*
1	*2*	*3*	*4*	*5*	*6*	*7*	*8*	*9*	*10*

9. **The group establishes an effective balance between task orientation (reaching the objective or accomplishing the task) and process orientation (communicating effectively, working well together).**

Never									*Always*
1	*2*	*3*	*4*	*5*	*6*	*7*	*8*	*9*	*10*

10. **The group accomplishes its task with a satisfying product or output.**

Never									*Always*
1	*2*	*3*	*4*	*5*	*6*	*7*	*8*	*9*	*10*

11. The group evaluates the way it functions.

Never									*Always*
1	*2*	*3*	*4*	*5*	*6*	*7*	*8*	*9*	*10*

TOTAL SCORE: ____________

AVERAGE SCORE: ____________

SESSION SIX

PERFORMANCE APPRAISAL

Learner Objectives

By the end of this session, participants will be able to

1. Provide feedback to a team member on his or her performance
2. Explain the uses of performance appraisal
3. Design a performance appraisal form for their own supervisory unit

Time

4 hours

Session Overview

A. Giving and Receiving Feedback . . . . 1 hour
B. Giving Feedback to a Team Member . . . . 1 hour
C. Understanding Performance Appraisal . . . . 30 minutes
D. Developing Performance Appraisal Forms . . 1 hour, 30 minutes

Materials

Newsprint
Markers

Handouts

6A Giving and Receiving Feedback
6B Performance Appraisal
6C Sample Performance Appraisal Forms (A & B)

Preparation

Copies of performance appraisal forms from local organizations or from participants' organizations

Collect and copy two or three different performance appraisal forms from local organizations or from participants

Prepare eight cards—write "shy and introverted" on four and "aggressive and domineering" on four.

A. Giving and Receiving Feedback (1 hour)

Step 1 Explain that it is essential for a supervisor to be able to provide effective feedback to supervisees. Before moving to the next round of the tower-building exercise, participants will take a closer look at feedback. Later, during the tower-building exercise, a team member will receive feedback on his or her performance.

Step 2 Select four participants to conduct two role plays, and brief them on the role play scenario, as follows:

A clinic director has noticed that one of her nurses has reported to work late on a number of occasions. She has been reluctant to say anything because the nurse has always performed well. Still, her recent lateness has caused a significant increase in the amount of time patients must wait before receiving attention, to mention just one problem. The clinic director feels that if she doesn't discuss the issue with the nurse soon, more critical problems might arise.

Ask the four role play actors to form two pairs, with each pair doing one role play. The first pair will present a role play depicting the clinic director as very authoritarian. One actor will play the clinic director and the other will play the nurse. The director does a poor job of giving feedback to the nurse, making the nurse feel very defensive. The other pair will enact an example of constructive feedback, resulting in a more positive outcome.

Step 3 After each role play, be sure to discuss what happened. Ask participants to explain what the supervisor did that showed skills (or lack of skills) in giving feedback. Other questions you could ask are listed below:

- How did the supervisor address the employee when she/he came into the room? What did this convey?
- Was there any discussion of why the feedback was being provided—the background and events that prompted the feedback?
- How did the employee react to the supervisor?
- How did their body language convey their feelings—sitting, standing, eye contact, fidgeting, rigidity, etc.?
- Did the supervisor discuss the problem with the employee or lecture the employee?
- Did the supervisor give positive as well as negative feedback?

Give examples.

- Did the supervisor allow the employee to explain why the situation arose or did he/she make assumptions? Give examples.
- What questions did the supervisor ask to better understand the employee's position?
- Was the supervisor judgmental? Did he/she use labels or exaggerate?
- In your experience, which role play shows the way most supervisors give feedback to employees? Why do you think this is the case?
- How did the employee react to the feedback? Was she/he defensive, argumentative, or open to the feedback received?

Step 4 After the role play, ask participants what is meant by feedback. Summarize their responses and develop a definition agreeable to everyone.

Possible response: Feedback is the return of information about a process or behavior in order to increase one's understanding about that process or behavior. It is usually used to foster behavior change.

Step 5 In the large group, ask participants what guidelines should be followed for giving and receiving feedback. Record their ideas on a flipchart.

Step 6 Distribute Handout 6A, Giving and Receiving Feedback, and compare it to the list the participants have developed.

Step 7 Explain that during the next round of the tower-building exercise, participants will have a chance to give feedback to one of the team members, to receive feedback, or to observe a feedback session.

B. Giving Feedback to a Team Member (1 hour)

Step 1 Prepare participants for Round 3 of the tower-building exercise. Remind the team leaders that at the end of the round, they must sit down with the new member of the team to discuss that person's performance. This time, though, the employee will act as a "problem employee." Have the new employee in each group select from two cards that describe the role that he or she must play in Round 3. On one card is written "shy and introverted," and on the other, "aggressive and domineering." Whichever card the new employee picks will determine the kind of "problem employee" he or she will be. Before Round 3 begins, ask each group to disassemble its tower.

Step 2 Once the towers are disassembled, verify that each group has only the required materials for building the tower. Remind everyone of the rules of the game and present new time limits for planning and for building:

Planning and Designing Phase—5 minutes
Building Phase—5 minutes

Step 3 Instruct participants to begin planning and designing. Ensure that the planning phase does not exceed 5 minutes. Give participants a warning periodically to remind them of how much time they have left.

Step 4 After 5 minutes, tell the teams to stop planning and begin building their towers. Ensure that the tower-building phase does not exceed 5 minutes. Give participants a warning periodically to remind them of how much time they have left.

Step 5 After 5 minutes, tell everyone to stop building and to stand away from the towers, even if they have not completed their work. Congratulate everyone on the effort they put into their work. Say something positive about each team and each tower, and encourage everyone to applaud as each team is recognized. Finally, announce the winning tower and applaud this team for their work.

Step 6 Announce that it is now time for each supervisor (the team leader) to give feedback to the new team member. Have each supervisor sit in a chair facing the new team member, with the rest of the team sitting nearby to observe the interaction. After the feedback session is completed, the observers will talk with the team leader about the positive and negative points of the interaction.

Step 7 Ask the groups what they have learned about feedback during this session. Have them discuss how giving and receiving feedback might be different in their own organizations.

At this point, the tower building exercise has ended and you may declare the winner of all three rounds combined (there may be a tie). If time and interest permit, conduct a fourth round of the exercise. This would allow two other team members to provide and receive feedback on their *actions. You can have two other volunteers in the group play the role of the supervisor and the difficult worker. Use the same process to discuss how the performance appraisal went, with the other members observing and discussing at the end.*

C. Understanding Performance Appraisal (30 minutes)

Step 1 Write “Performance Appraisal” on newsprint, and ask for help with a definition.

Possible response: Performance appraisal is a supervisory process for evaluating, discussing, and documenting employee performance. It involves giving periodic, formal, feedback to a worker regarding areas of satisfactory work and areas needing improvement.

Step 2 Highlight the words “formal” and “feedback,” stressing that both periodic formal and ongoing informal feedback are part of effective supervision.

Step 3 Ask why informal, continuous feedback is also important to the supervisory process.

Possible responses: To correct mistakes as soon as they occur, to maintain motivation at a high level, to prevent small problems from escalating into larger ones, etc.

Step 4 Ask if any of the participants either give or receive written performance appraisals as part of their job. Ask how they feel about the process.

Step 5 Point out that a poorly done performance appraisal can be a painful and embarrassing experience for both the supervisor and worker. But when done well, it becomes a valuable tool for the supervisor in her or his role as “coach.”

Step 6 Ask what the relation is between a performance appraisal and a job description.

Possible response: A performance appraisal uses the employee’s job description as a reference.

Step 7 Ask what problems might arise if you try to implement a performance appraisal system when you have no written job descriptions.

Possible responses: Disagreement about the worker's responsibilities, lack of criteria for measuring the worker's performance, ambiguity about the supervisor's expectations of the worker.

Step 8 Ask the participants how using performance appraisal could be beneficial to the supervisor's work. Record their ideas on a flipchart with the title "Benefits to the Supervisor."

Possible responses: Feeling that the worker understands the supervisor's concerns; increased trust between the supervisor and the worker; more information on what the worker thinks about her or his job.

Step 9 Now ask how the performance appraisal could benefit the worker. Record answers on a flipchart with the title "Benefits to the Worker."

Possible responses: Greater clarity of responsibilities, knowledge of what the worker is doing well, increased motivation, positive rapport with supervisor, new responsibilities and opportunities for growth.

Step 10 Distribute and discuss Handout 6B, Performance Appraisal.

D. Developing Performance Appraisal Forms (1 hour, 30 minutes)

Step 1 Distribute copies of performance appraisal forms from local organizations. If necessary, use Handout 6C, Sample Performance Appraisal Forms.

Step 2 Allow for some time to read the forms, and then ask for reactions.

- How are the forms different?
- How are the forms similar?

Step 3 With the implications of today's session in mind, ask participants to complete the following task:

TASK #1

1. Work individually or in pairs to design performance appraisal forms you can use in your organizations.

2. Present your work to at least two other participants for feedback Remember that the items should be behavior-based and based upon the relevant job description.

Time: 45 minutes

Step 4 Wrap up the session on performance appraisal by eliciting and writing on newsprint “lessons learned” that they will take back to their work.

GIVING AND RECEIVING FEEDBACK

We naturally give feedback to other people when we interact with them on any project or activity, sometimes making a positive comment and sometimes criticizing what they have done. Both positive and negative feedback are important to effective communication and group work, but they are only effective if the feedback is given and received in a *constructive* manner. Constructive feedback is information that a person can use to solve problems, improve performance, or work more effectively with others.

It is not easy to give and receive constructive feedback. The principles presented here will help you manage potential (or existing) conflict, be direct about what you think, and still maintain mutual respect.

HOW TO GIVE CONSTRUCTIVE FEEDBACK

Agree that feedback is important

It is important for both parties to understand the purpose for giving and receiving feedback in the organization. Agree with your colleagues, your supervisors, and your supervisees that it is both appropriate and useful to give and to ask for feedback.. Discuss with others in your organization how feedback might be helpful to improve communication—not only when things go wrong but also when things are going well.

Choose the right moment

Avoid giving feedback only when it is convenient for you—make sure that the time is right for the other person to hear what you have to say. If the other person doesn't listen to you, then you probably will not improve anyone's situation. On the other hand, you should give feedback as close to the event (the problem or the behavior) as possible, before both of you forget what happened or disregard it as unimportant. Positive feedback is welcome at almost any time; however, if it is important, choose a time or an occasion that indicates how important it is.

Start on a positive note

When you are about to criticize what someone has done, begin by showing respect for the other person. Talk about something positive the person has done. Most likely, you will want to remain on good (if not better) terms with the person, and so let that person know that, in general, you value what he/she does. No matter how poorly the person has behaved, you should be able to say *something* nice. If you are too angry, you should probably cool off first!

Talk about the situation in relation to yourself—not the other person

Use "I" as the subject, not "you." This will help avoid making the other person feel defensive. If you accuse people, they might say you are wrong, but they cannot say that your own feelings are wrong. For example, rather than saying:

> "You always make mistakes in our reports."

You could say:

> "I really felt embarrassed when our donor pointed out to me some mistakes in our last two reports."

This helps the person see the *consequences* of his/her behavior and not simply the behavior itself. In that way, the person will feel a greater sense of responsibility for changing the behavior.

Be descriptive and specific

It is more useful to discuss specific events than general behavior. The more recent the event, the less likely it is that you will disagree about what really happened. The more specific you are, the easier it will be for the person to understand what needs to be changed and why. If you help the person see something the way you perceive it, then he or she will be in a better position to act. Likewise, if you listen to what the other person thinks about the situation, you will better understand the difficulties (if there are any) in changing behavior.

Don't make broad generalizations

It is not useful (and probably not even true) to make broad generalizations such as, "*Nobody* likes the way you do these reports." What you really mean to say is "*I* don't like the way you do these reports because..."

Another generalization to avoid is, " You're *always* making mistakes in these reports!" What you really mean to say is "You've made similar mistakes in the last two reports. Let's look at them." If you say something specific, you will help to focus the discussion on the real issue.

Don't criticize the person, criticize what the person has done

Focus on the person's specific behavior(s), not things that can't be changed. Remember that you are not trying to change who the person is, you are simply trying to improve the way that person behaves or interacts in a given situation. The other person should see that you are trying to be objective about what has happened, from your own perspective. If you pretend to be all-knowing, you may be setting yourself up for resistance.

HOW TO RECEIVE FEEDBACK CONSTRUCTIVELY

Relax

Take a deep breath to help your body relax.

Let the other person say as much as possible without intervening

People give and react to feedback in different ways, but usually they feel better once they have talked about the situation from their own point of view. Let them do that so that they know you are willing to listen to them. Sometimes people just need to vent their feelings before they can really enter into a more rational dialogue. Let them vent first!

Ask questions to clarify what you have heard

Before you react, make sure you understand what you're reacting to by asking, "Do you mean to say that..." or, "What I hear you say is that..." or, "In other words, you feel that..." This is known as *paraphrasing* what the other person has said. It shows that you are listening to and showing respect for the other person, even if you disagree.

Remember, just because you listen to someone doesn't mean you have to agree with them!

Look first for areas of agreement

Finding some common ground will help move your discussion toward resolution. The best way to reach an agreement in conflict is to acknowledge those areas where you feel the same way. You will begin to feel better about each other that much sooner.

Give yourself some time to think about it

Don't try to solve everything on the spot. Give each other some time to think about your discussion and to check facts. Be sure to set up a time in the near future when you both will continue your discussion, and make sure that appointment is kept.

PERFORMANCE APPRAISAL

What Is It?

A performance appraisal is the process of evaluating, discussing, and documenting information related to an employee's performance over a set period of time.

Why Should an Organization Have a Performance Appraisal System?

The primary purpose of performance appraisal is to assist employees in improving their performance. In addition, a performance appraisal system will:

- contribute to an employee's long-term career development
- provide a standardized mechanism for evaluating all employees equally
- establish direction through objectives for performance
- document discussions about an employee's performance
- enable managers to base decisions about salary raises on standard criteria
- provide justification for promotions, transfers, and discharges
- help supervisors know employees better
- identify needs for training and development

What Are the SIX STEPS in the Performance Appraisal Process?

1. Prepare performance indicators (the criteria upon which you will evaluate employees). This will establish what you expect from employees.

2. Develop a performance appraisal form. This is the tool you will use to document an employee's performance. Make sure all employees know what the criteria are at the beginning of the appraisal period.

3. Observe the employees during the established period (one year, six months, etc.) and note down high points and low points as they occur. Otherwise, you may forget certain events by the end of the year.

4. Evaluate the performance against the criteria you have established.

5. Discuss your appraisal with the employee, completing the appraisal form.

6. Take appropriate action.

SAMPLE PERFORMANCE APPRAISAL FORMS
SAMPLE A

Name ____

Title ____

Division ____

Name of Supervisor ______________________________________

Title of Supervisor ______________________________________

Period under review ______________________ Date of review __________

APPRAISAL OF WORK ACCOMPLISHED

RATING SCORES: 4—Outstanding; 3—Good; 2—Reasonable; 1—Unsatisfactory

A. Key Responsibilities Review the employee's job description before completing this section and identify 3–4 critical elements of the job. Indicate the employee's performance of the critical elements of the job using the rating scale provided above.	**Score**
1.	
2.	
3.	
4.	
5.	

	Score
B. Performance Objectives Review the employee's performance objectives from the last appraisal before completing this section. Indicate below the employee's overall success at achieving these objectives during the rating period. Indicate areas in which the employee showed particular strength or weakness.	
1.	
2.	
3.	
4.	
5.	

	Score
C. Other factors Rate the employee's performance on each of the following factors:	
1. Attendance	
2. Punctuality	
3. Teamwork	
4. Creativity	
5. Professional competence (keeping updated in the field)	
6. Writing skills	
7. Speaking/presentation skills	
8. Relations with clients/public	

D. Objectives

List performance objectives for the next period.

1. ____________________

2. ____________________

3. ____

4. ____

5. ____

E. Comments

Supervisor's comments

Signature: Date:

Next-in-line supervisor's comments

Signature: Date:

Employee's comments

Signature: Date:

SAMPLE B

Name: ______________________________

Title: ____________________ Division: ____________

Reviewed by: ______________ Review Date: __________

EMPLOYEE SELF-ASSESSMENT

Major Achievements
In the space below (or on a separate sheet, if preferred), describe your major achievements during the review period in relation to previously established work expectations.

Areas for Improvement
Indicate below any areas in which you hope to improve your performance, in which you feel you need training or coaching, or any other aspects of your job you would like to discuss during the performance review.

SUPERVISOR'S ASSESSMENT

Attainment of Performance Objectives
Review the employee's performance objectives from the last appraisal before completing this section. Indicate below the employee's overall success at achieving these objectives during the rating period. Indicate areas in which the employee showed particular strength or weakness.

1. Knowledge of work Understanding of all the phases of work and related matters.	Needs additional training.	Has required knowledge of own and related work.	Has exceptional knowledge of own and related work.
	Comments:		
2. Initiative Ability to originate or develop ideas and get things started.	Lacks imagination.	Meets standards.	Unusually resourceful.
	Comments:		
3. Application Ability to apply skills and work without close supervision.	Wastes time. Needs close supervision.	Steady and willing worker.	Exceptionally industrious.
	Comments:		
4. Quality of work Work produced meets organization's standards for quality.	Needs improvement.	Meets standards on regular basis.	Consistently produces excellent quality.
	Comments:		
5. Teamwork Ability to work effectively with others.	Has difficulty establishing collaborative relationships.	Works well with others.	Consistently works extremely well with others, establishing communication and trust.
	Comments:		

PERFORMANCE GOALS AND OBJECTIVES:
Supervisor and employee must discuss, agree upon, and list performance objectives for the upcoming review period. These may be presented as a workplan or strategies for sharpening skills or improving performance. The results will be evaluated in the employee's next performance appraisal.

1. ______________________________

2. ______________________________

3. ______________________________

4. ______________________________

SUPERVISOR'S COMMENTS: Include recommendations for training, coaching, or other professional development. If additional space is needed, attach a separate sheet.

PRESIDENT'S COMMENTS:

President's signature ______________________ Date: ____________

****

I have reviewed this appraisal, discussed the contents of it with my supervisor, and made any comments I desired to make. My signature indicates that I have been advised of my supervisor's appraisal of my performance during the specified period, but does not necessarily imply that I agree with the contents of this appraisal.

Employee's Signature: ______________________ Date: ____________

Supervisor's Signature: ______________________ Date: ____________

SESSION SEVEN

M O T I V A T I O N

Learner Objectives

By the end of this session, participants will be able to

1. Identify sources of motivation in people
2. Explain how a supervisor can create an environment for motivating workers

Time

3 hours

Session Overview

A. Understanding Motivation . . . . .1 hour, 30 minutes
B. Dealing with Motivation Issues . . . . . . .1 hour, 30 minutes

Materials

Pictures from Session 1 showing strengths and weaknesses of supervisors

Handouts

7A Motivation

A. Understanding Motivation (1 hour, 30 minutes)

Step 1 Write on newsprint the word "motivation."

Step 2 Elicit and write definitions of motivation. Allow 10 minutes.

Possible responses: Creating conditions which cause someone to want to do something; reasons for wanting to do something.

Step 3 Ask why motivation is an important concern of the supervisor and write answers on newsprint. To get the group thinking more about motivation in the workplace, facilitate discussion around the following questions:

- Are the things that motivate people the same around the world?
- How might they differ from one culture to another?
- How might they differ from one organization to another?
- Can motivation differ from one person to another?

Explain that since motivation is so different across cultures, organizations, and individuals, it is difficult to establish a "golden rule" for motivating people.

Step 4 Ask participants what the difference is between "satisfaction" and "motivation."

Possible responses: Both are related to needs. Satisfaction refers to fulfilled needs. A satisfied need does not motivate people. Motivation relates to the desire to fulfill unsatisfied needs.

Step 5 Explain that we can put our different kinds of needs into categories. Distribute Handout 7A, Motivation, and discuss each category with the group. Ask for some personal examples from individuals.

Step 6 For each category described in Handout 7A, participants should give an example of a time at work when they felt satisfied and a time when they did not feel that their needs were being fully met.

Step 7 Have participants form triads and present the following task:

TASK #1

1. Discuss the experiences you wrote down.

2. For the satisfied needs, determine what circumstances brought about that satisfaction. Did any person help to motivate you?

3. For the unsatisfied needs, try to remember what you did or what someone else did to address the need.

4. Develop a list entitled, "Sources of Motivation."

Time: 30 minutes

Step 8 Have participants post their lists on the wall. Encourage them to walk around and look at the lists that have been developed.

Step 9 Ask everyone to be seated. Lead a discussion about the lists of sources of motivation:

- What are the most common things mentioned?
- Did you notice anything unusual?
- What aspects of motivation listed do you think are the most important?
- Would you say that people or other factors are more important in motivating?
- What kinds of people were mentioned the most?

B. Dealing with Motivation Issues (1 hour, 30 minutes)

Step 1 Divide the participants into small groups of about five each. Ask each group to develop a role play between a supervisor and another worker or group of workers. Half of the groups should prepare role plays showing a supervisor dealing effectively with a motivation problem. The other groups should prepare role plays showing a supervisor dealing ineffectively with motivation problem. Allow 15 minutes of preparation time.

Step 2 Have each group present its role play and then use the following questions for discussion:

To the role players

- How did you feel in the role play?
- Were you (the worker/s) satisfied with the way your supervisor acted? Why or why not?
- Were you (the supervisor) satisfied with the outcome of the discussion?

To the observers

- What comments do you have about the role plays?
- Were they realistic?
- What else could the supervisor have done during the role plays?
- How do group members influence each others' motivation level?

Step 3 To synthesize, ask participants to come up with ways they might better deal with motivation in the workplace. List their comments on a flipchart.

MOTIVATION

The following sources of motivation are based on Maslow's Hierarchy of Needs:

Physiological Needs
These are often referred to as basic needs, and include food shelter, rest, and exercise. These needs must be met in order for us to survive.

Security Needs
We need to feel both psychologically and physically safe and free from danger and deprivation in order to be productive. Security needs are a problem when there is violence in the home or community, a lack of friends and family who can take care of you, and any time there is fear.

Social Needs
Although people are sociable in different ways, we all need to interact with other people to a certain extent. Social needs include the need to be recognized as a group member (for example, an ethnic group, a religious group, a group of friends, or a group within an organization). The need to be wanted and respected by other people is a strong motivator.

Ego Needs
Even the most modest person is proud of his or her work. Ego needs refer to being productive in life, doing meaningful work, feeling a sense of growth and development, and becoming better at what you do.

SESSION EIGHT

MONITORING AND EVALUATION

Learner Objectives	By the end of this session, participants will be able to 1. Describe the purposes and processes of monitoring 2. Design a monitoring plan based on stated project objectives and activities
Time	2 hours, 30 minutes
Session Overview	A. Monitoring . . . . .1 hour B. Management Information Systems (MIS) . . . . .1 hour, 30 minutes
Materials	Flipchart Markers Optional: Overhead projector, transparencies
Handouts	8A Monitoring 8B Information for Monitoring Program Operations 8C Sample Information for Monitoring Program Operations
Preparation	(Optional) Make transparencies for Step 5

A. Monitoring (1 hour)

Step 1 Greet participants and read aloud the posted learner objectives for the session.

Step 2 Write “monitoring” on the board and ask participants what comes to mind when they see that word. Do they associate monitoring with positive or negative feelings?

Step 3 Ask for an explanation of the difference between monitoring and evaluation.

Possible responses:

- *Monitoring is an ongoing activity; evaluation is periodic.*
- *Monitoring activities are carried out by staff; evaluations can be done by organization members or outside parties.*
- *Monitoring requires a system of regular and systematic information collection.*
- *Monitoring provides information for all levels of decision-making, including immediate decisions; information from evaluations is most important to middle- and senior-level managers in order to make longer-term program decisions.*

Step 4 Use the ideas generated in Steps 2 and 3 to arrive at a definition of monitoring which is acceptable to all participants.

Possible response: Monitoring is the process of routinely gathering information on all aspects of the project.

Step 5 Ask participants the following questions about monitoring. Record responses on a flipchart. (You may want to prepare the expected responses on an overhead projector transparency before the session.)

- Why do we need to monitor project activities?

Expected response: Monitoring provides managers with information needed to analyze the current situation, identify problems and find solutions, discover trends and patterns, keep project activities on schedule, measure progress towards objectives, formulate/revise future goals and objectives, and make decisions about human, financial, and materials resources.

- When do we monitor?

Expected response: Monitoring is continuous. A monitoring system should be in place before project start-up. Monitoring activities should be scheduled on the project workplan.

- How do we monitor?

Possible responses: Field visits, review of service delivery and commodities records, management information systems (MIS), and financial and program reports.

Step 6 Distribute Handout 8A, Monitoring, and ask participants to review it to see if they have any questions.

Step 7 Ask participants to brainstorm about what type of information a project should monitor. List responses on a flipchart.

Possible responses: The use of time, people, money, and other material resources, as well as results and impact; staff supervision; budget and expenditures; commodities; workplan activities (service delivery, training, IEC activities).

Distribute Handout 8B, Information for Monitoring Program Operations, for reference, and draw participants' attention to the categories of information listed. Ask if the type of information they have come up with fits into these categories. Are there other categories they would like to include?

B. Management Information Systems (MIS) (1 hour, 30 minutes)

Step 1 Explain that in order to ensure access to complete, timely, and accurate information for monitoring a project, a management information system (MIS) should be established. Ask participants to define MIS.

Possible definition: A system designed to collect and report information on a project and project activities to enable a manager to plan, monitor, and evaluate the operations and performance of the project.

Step 2 Ask the group questions to help them come up with the following steps for designing a management information system:

a. Identify the information needed to monitor the project.

b. Determine the frequency of information collection.

c. Identify the persons who will use each type of information.

d. Design or revise formats and procedures for collecting and recording and reporting data.

e. Create a manual or computerized system (database) to tabulate, analyze, and report information in its most useful form for managers and donors.

f. Train/supervise staff in use of MIS.

Depending on the type and size of the project and the skills and experience of project staff, the MIS can be formal or informal, extensive or small. It should always be simple and efficient. It can be a manual system or it can be computerized. It should not be time-consuming to use and should fit comfortably and naturally with staff's other activities.

Step 3 Ask participants to brainstorm various methods to collect information.

Possible responses: Client records/cards, daily logs/registers, feedback sheets, checklists, surveys and questionnaires, interviews, focus groups, observation.

Step 4 Arrange the participants in small groups, and have each group use one participant's project as a case study. Present the following task:

TASK #1

Complete the chart in Handout 8B, Information for Monitoring Program Operations, using a group member's project as a case study.

Time: 45 minutes

Step 5 Ask each group to present its monitoring plan. Distribute Handout 8C, Sample Information for Monitoring Program Operations, for participants to compare with their answers.

MONITORING

Monitoring is the process of routinely gathering information on all aspects of the project. Monitoring provides managers with information needed to:

- Analyze current situation
- Identify problems and find solutions
- Discover trends and patterns
- Keep project activities on schedule
- Measure progress towards objectives and formulate/revise future goals and objectives
- Make decisions about human, financial, and material resources

Monitoring is continuous. A monitoring system should be in place before project start-up. Monitoring activities should be scheduled on the project workplan.

The first level of monitoring is done by project staff. Supervisors are responsible for monitoring the staff and tasks under them, and the project manager is responsible for monitoring all aspects of the project.

The second level of monitoring is done by the donor(s). Through field visits and routine reports from the project manager, the donor monitors progress and measures performance.

Monitoring can be carried out through field visits, review of service delivery and commodities records, and management information systems (MIS).

INFORMATION FOR MONITORING PROGRAM OPERATIONS

CATEGORIES OF INFORMATION	WHAT TO MONITOR	WHAT RECORDS TO KEEP	WHO COLLECTS DATA	WHO USES DATA	HOW TO USE INFORMATION	WHAT DECISIONS CAN BE MADE
1. Workplan Activities						
2. Cost and Expenditures						
3. Staff and Supervision						
4. Commodities						
5. Results						

SAMPLE INFORMATION FOR MONITORING PROGRAM OPERATIONS

CATEGORIES OF INFORMATION	WHAT TO MONITOR	WHAT RECORDS TO KEEP	WHO COLLECTS DATA	WHO USES DATA	HOW TO USE INFORMATION	WHAT DECISIONS CAN BE MADE
1. Workplan Activities	• Timing of activities • Availability of personnel, resources	• Monthly/quarterly workplans • Work schedules	• Project manager • Supervisors	• Project manager • Donor agency	• Ensure staff and other resources are available	• Reschedule activities and deployment of resources as needed
2. Cost and Expenditures	• Budgeted amounts, funds on hand and expenditures • Balance in budget by approved cost categories	• Ledger of expenditures by budget category • Receipts • Bank transactions • Reports to donor	• Financial officer/ accountant	• Project manager • Auditor • Donor agency	• Ensure funds are available to execute activities • Ensure compliance with funding regulations • If fee for service, determine fee structure	• Authorize expenditures • Make budget and project revisions • Determine need for other funding sources
3. Staff and Supervision	• Knowledge, attitudes and skills of staff • Educational level of staff • Salaries and benefits • Job performance	• Performance reviews • Job descriptions • Resumes of staff • Feedback from training attended	• Supervisors • Personnel director • Trainers	• Supervisors • Project manager • Personnel director	• Motivate staff and resolve employment problems • Advise staff on career	• Placement • Training needs • Promotions • Disciplinary action
4. Commodities	• Stock • Ordering and shipment status • Procurement regulations	• Stock registers • Invoices • Field worker reports	• Logistics manager	• Project manager • Donor agency	• Ensure availability of commodities in stock and distribution to field • Ensure good condition of commodities	• Quantity to order • When to order • Amount to keep in reserve for emergency
5. Results	• Number and type of services provided/ commodities dispensed • Characteristics of persons served/ educated	• Client cards/forms • Clinic registers • Field worker reports	• CBD Workers • Clinic nurse • Field supervisors	• Field supervisor • Project manager • Donor agency	• Ensure objectives are realistic • Assess quality of services provided • Assess appropriateness of services	• Revise objectives • Retrain staff • Revise IEC strategy • Revise project strategy and approach

Adapted from *The Family Planning Manager's Handbook: Basic Skills and Tools for Managing Family Planning Programs* (1991), edited by James A. Wolff, Linda J. Suttonfeld and Susanna C. Bizen. West Hartford, CT: Kumarian Press, Inc. pp. 204 and 206.

SESSION NINE

PLANNING FOR BETTER SUPERVISION

Learner Objectives	By the end of this session, participants will be able to 1. Develop a checklist for measuring effective supervision and supervision 2. Identify strengths and weaknesses in their own work as supervisors and in their supervision system 3. Develop a plan of action for improvement as a supervisor and/or of the supervision system
Time	3 hours, 30 minutes
Session Overview	A. Supervision Synthesis . . . . 1 hour, 30 minutes B. Analysis and Action Planning . . . . .2 hours
Materials	Flipchart Markers Optional: Overhead projector, transparencies
Handouts	9A Action Plan

A. Supervision Synthesis (1 hour, 30 minutes)

Step 1 Explain that this session will include a synthesis of the week's sessions and an analysis of each person's needs in relation to improving supervision. Read aloud the posted learner objectives for the session.

Step 2 Divide the participants into small groups and assign one session from this workshop to each group, omitting session one. Present the following task:

> **TASK #1**
>
> 1. Review what was covered during the workshop session you have been assigned to refresh your memory.
>
> 2. Make two lists, entitled "Lessons learned about being a better supervisor" and "Lessons learned for improving the supervision system."
>
> 3. Prepare to report out.
>
> Time: 30 minutes

The purpose of this task is to enable participants to review and synthesize the information presented during the workshop. It also will enable them to develop a tool for analyzing their own supervision at the individual and at the system level. Think of the output of this task as two checklists of indicators: one for a supervisor and one for a supervision system. Participants should be grouped with others who have similar job responsibilities and similar working environments.

Step 3 Have each group report out on their synthesis of the topics. Ask others if they have anything to add to the list or to revise.

B. Analysis and Action Planning (2 hours)

Step 1 Present the following task:

> **TASK #2**
>
> 1. Using the checklist developed during the group work and the two levels of analysis (the supervisor and the system), identify the following:
>   - What works well
>   - What problems exist
>
> 2. For each problem, develop an objective for improvement.
>
> Time: 30 minutes

Step 2 Ask participants to discuss their analyses in triads. During the discussion, participants should help each other identify the most important area for improvement at both the personal and the system level. The priority problems will serve as a basis for their action planning.

Step 3 Now participants will develop personal action plans that will help them to improve their effectiveness as supervisors and an organizational plan to improve the organization's system of supervision. Refer to Handout 9A, Action Plan, for a suggested action planning format. Plans should include the following:

- Description of the problem
- Objective to be attained
- Description of the activity
- Person(s) responsible
- Completion date

Step 4 Ask two participants (choose those with the best plans) to present their plans to the whole group. After giving the presenters feedback, break out into the small groups. All participants should now present their plans.

Problem Description:

Action Plan Objective:

ACTION PLAN

Activity	Start Time	End Time	Person Responsible

TRAINING MANUAL USER EVALUATION FORM

CEDPA would greatly appreciate your time in completing a questionnaire on your use of this **SUPERVISION** manual. Your responses will help us to revise the manuals to reflect the needs of the users and to improve the quality of training activities in this area.

Name ____________________ Address ______________________________

____

Organization ____________________ ______________________________

____

Current Professional Status: Telephone ______________________________
(e.g. Trainer/NGO, Program Manager)

____________________ Telefax ______________________________

Please rate your answers to the questions below on a scale of 1–5 as follows:

Strongly Disagree = 1
Disagree = 2
No Opinion = 3
Agree = 4
Strongly Agree = 5

Please circle the number that best reflects your opinion of the manual.

1. It is well presented and organized.

   1 2 3 4 5

2. The tasks were clearly presented and easy to follow.

   1 2 3 4 5

3. Comments on the presentation or organization of the manual:

4. The content of the sessions corresponded to the learning objectives.

   1 2 3 4 5

5. The manual increased my knowledge and understanding of supervision.

   1 2 3 4 5

6. The learning objectives are clearly stated.

   1 2 3 4 5

7. The activities and exercises enabled the participants to learn and understand new knowledge and skills effectively.

   1 2 3 4 5

8. I feel more confident in my ability to improve supervision.

   1 2 3 4 5

   Give reasons why or why not:

9. What sections did you find most/least useful?

10. Do you have any suggestions for revisions?

11. Overall comments on the manual:

Please send completed form to:

The Centre for Development and Population Activities
1400 16th Street, N.W., Suite 100
Washington, D.C. 20036 U.S.A.
Telephone (202) 667-1142 Fax (202) 332-4496

Thank you for completing this questionnaire.

cedpa
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