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Overview and Introduction

Online Resources

Resources and references relevant to this course are available for download at SupervisionResources.nanmckay.com. The materials may be accessed and downloaded as often as needed. Additional HUD references can be also found on the NMA References site at: http://nmareferences.com.

Overview

This course follows a roadmap. The chapters follow a progression, beginning from the basics through the numerous functions of a manager. These are the milestones of the principles and how-to's of management and supervision.

Here are the chapters and how they move us forward in our learning of supervisory management:

The Basics of Supervision

We will begin with an overview and a self-assessment. We will introduce the "You! Now and Later" tool, which will be used throughout the seminar.

The Supervisor and the Organization

Now that you have looked at yourself individually as a supervisor, we will see how those competencies can be applied to the organization.

Supervisory Competencies

Once the broader concepts are introduced, you will explore your competencies. Here is where you take a look at your strengths and weaknesses, and how can you develop and grow. This is the purpose of the seminar. Identifying what you need to develop and how you want to grow will guide your focus through the rest of the seminar.

Employee Recruitment, Selection, and Training

After examining the overall organization, we want to build a team within it.

Supervising a Team

Once that team is assembled, as supervisors, we ask ourselves, “How do we ensure their success through our supervision?”

Managing Job Performance

As we supervise our staff, how do we work on employee growth?

Planning and Monitoring

Now that we have looked at how to successfully fulfill our role and how our role affects our employees, what long term quality control systems can we implement to track performance and maintain competency and efficiency?

Managing Nondiscrimination

We need to not only understand nondiscrimination requirements in our programs, but we also need a working knowledge of nondiscrimination issues in areas of employment. While you will be working with your human resources department and 504 coordinator, this chapter will familiarize you with nondiscrimination issues in the workplace.

Ethics

Ultimately, you are responsible for your work and your reputation. We will conclude the seminar with principles of ethics that transfer to everyday issues you deal with in the workplace.

Introduction to this Seminar

In this section, we'll first walk through the learning objectives of this seminar. Then, we'll look at the process we'll use in achieving the learning objectives. Lastly, we'll introduce the benefits that we hope you gain from attending this seminar.

Learning Outcomes of this Seminar

Develop and master the skills needed to effectively supervise a team, including staffing, managing employee performance problems, delegation, setting and managing to expectations, quality control, and team management.

As a result of attending this seminar, you should be able to:

- Identify your roles and functions as a supervisor in a PHA
- Apply the knowledge, skills, and competencies needed for successful supervision
- Integrate the PHA's vision, mission, and goals in effective supervision
- Identify best practices in hiring, evaluating, and training employees
- Apply principles and steps toward creating and sustaining a team environment
- Respond effectively to employee concerns and performance problems
- Apply laws, regulations, and policy to avoid discriminatory actions and minimize liability
- Identify the elements of a monitoring your team's performance (known as quality control)

In addition, you will be able to recognize effective techniques to:

- Communicate to both the team and individuals verbally, in writing, and in meetings
- Manage for diversity and avoid discrimination in the workplace
- Coach employees
- Assess performance problems to identify appropriate action
- Conduct performance evaluations

Structure of this Seminar

You will see that this course will weave in and out of the practical and sequential everyday tasks to big picture principles. This "weaving in and out" creates more of a tapestry than a linear progression. This process will be similar to your real-life experience in the workplace; supervisors often transition from discrete tasks to strategic thinking and problem-solving throughout the work week.

Benefits of this Learning

This seminar attempts to present the practical tasks and step-by-step instructions for the essential elements of supervision. However, many people learn best when they can see the "big picture". Knowing why something is necessary is important to learners in putting together the how, what, when, and where. We think the benefits to this holistic approach - seeing the parts in the context of the big picture - include:

Effective Problem Solving

- Understanding the "big picture" of the housing authority allows you as a supervisor or manager to focus on what drives the success of your team.

Effective Leadership

- With a clear understanding of the principles of supervision integrated with the nature of a housing authority, you can give your attention to the most important aspects of the business.

Effective Communication

- Knowing the functions, programs, and departments of the housing authority and how they relate to each other enables you to identify what essential information to communicate and to whom.

Effective Planning, Program Design and Evaluation

- The big picture approach makes it far easier for you to identify the goals for your program, what resources are needed to achieve those goals, and what actual results will indicate that those goals have been achieved, and to diagnose and problem-solve areas that are problematic.

Knowing Yourself

- You as a whole person are the supervisor, and who you are and what you bring affects the whole. When you know yourself and have confidence in your strengths and are in a learning mode, your role as a supervisor can be more than a job. Bringing big picture principles to your everyday work enables you to demonstrate a purpose and mission to yourself and your team.

My Career Map

You are much more likely to use what you learn in this seminar if you develop a clear understanding of who you are now and where you want to be as a supervisor in the future. You will also benefit from developing a written plan for your own professional or career improvement.

At the end of each of the chapters in this Supervisory Management Course, we will give you an opportunity to describe what you have learned about yourself in the chapter, and your description of what you would like to add or change in the future about your supervisory knowledge, skills, and abilities.

We will return to this information again and again as you move through this course. Start now by a beginning assessment of where you think you are now, where you'd like to be, and what you will do to get there.

Chapter, Page, Topic	What I Currently Do	What is My Goal Behavior	What I Will Do to Get There	Date of Change

CHAPTER 1 The Basics of Supervision

Learning Outcomes

Recognize the roles and responsibilities of the supervisor.

Identify the common pitfalls and steps in the transition of line staff to supervisor.

Recognize the principles of professionalism in supervision and management.

Begin using the career map “You! Now and Later!”

Overview

We'll start at the beginning and work our way onward. The first chapter will begin with an overview and a self-assessment. We’ll see the “You! Now and Later!” self-assessment tool used throughout the seminar. In this chapter, we’ll cover the basic principles of supervision. If you're an executive director, you supervise people who supervise supervisors, so the same principles will apply.

SECTION 1 ROLES AND RESPONSIBILITIES OF THE SUPERVISOR

Introduction

As a supervisor, you are many things to many people: an advocate (for the employee and the agency), a coach, a mentor, a facilitator, a trainer, and of course a boss.

As a coach, you work with employees so they know what is expected of them, and support them to do their best.

As a mentor, you often understand the housing authority and the employee's job better than the employee. So you're in a unique position to give ongoing advice to the employee about her job and career. A mentor helps an employee grow to realize their potential, which may be beyond a particular job or even beyond the housing authority.

You're often the first person to tell employees about new policies and programs from management. It can be a major challenge to present new programs to employees without their being frustrated or even cynical. You need to be honest, accurate, and empathic.

Supervisors are often responsible to represent the employee's needs to management. If an employee merits a promotion, or has a unique personal situation that warrants special consideration by management, it will sometimes be you who must explain this situation and recommend how to handle it.

Even the most effective supervisors are required to "walk a fine line" between being a supervisor and being the employee's confidant. Employees can sometimes see their supervisor as part of "management" and part personal friend.

You manage these many roles by understanding your organization, knowing yourself, and following basic supervisory principles. In this course, these skills will be introduced, explained in detail, and practiced in a way that provides new, current, and mature supervisors with renewed confidence in themselves and their abilities.

What Supervisors Do

As a supervisor, you oversee, guide, and evaluate the activities, productivity, and progress of your immediate subordinates as they work to achieve the goals and mission of the housing authority.

Supervision of a group of employees includes:

- **Organizing your team** to perform within organizational goals, strategies, policies, and regulations
- **Overseeing employee and team performance** by setting team goals, observing and giving feedback, addressing performance issues, designing new job roles, hiring, training, and correcting employees
- **Conducting basic management skills**, such as decision-making, problem-solving, planning, delegation, and communication management

What Managers Do

A common definition of management is getting things done through others – so supervisors manage, too. The terms typically refer to difference in size and complexity of teams and programs. Managers typically supervise supervisors, and directors typically supervise managers.

"*Management*" refers to the activities, and often to the group of people, involved in four general functions in the agency. These functions are:

- **Planning**, which includes identifying the goals, objectives, methods, and resources needed to accomplish the goals of the program or housing authority as a whole. Examples of planning are business planning, developing budgets, project planning, staffing planning, and strategic planning. Good oversight of the project requires planning by the property manager, who is the frontline supervisor at the project.
- **Organizing**, which involves organizing resources in the best possible manner to achieve the goals of the program or housing authority as a whole. Examples of organizing include organizing new departments, establishing an outreach team to improve the lease-up rate in the voucher program, and staffing for greater efficiency and economy.
- **Directing**, which includes setting direction for the team by influencing people to follow that direction. Examples of directing in the agency are establishing strategic direction (vision, values, mission, and/or goals) and using performance management to follow that direction.
- **Coordinating**, which involves coordinating systems, processes and structures to effectively and efficiently reach goals and objectives. This includes the ongoing collection of feedback, and the monitoring and adjustment of systems and processes accordingly. Examples include use of financial controls, policies and procedures, performance management processes, and measures to avoid risks.

In this traditional view of management, each manager is involved in every one of these activities, and these activities occur throughout the agency.

A current perspective of management stresses that managers focus on leadership skills. Establishing the vision and goals, communicating the vision and goals to staff and teams, and influencing them to achieve the vision and goals are attributes of a leader.

SECTION 2 SUPERVISION AND LEADERSHIP

A Supervisor and a Leader

One definition of a leader is someone with a vision and the ability to articulate—and demonstrate—that vision. Leading is establishing direction and then influencing others to follow that direction, whether or not the leader has formal power to do so. Leading is focused on conducting activities with other people AND inspiring those other people to perform in a certain manner. Just because you're a supervisor doesn't automatically make you a leader. Leadership, however, is a skill you can develop.

Leading is a vital part of directing, one of the four functions of a manager we identified previously. As such, many good managers are also leaders. However, leading and leadership are different than the other functions of management and are not necessarily required of a manager.

- For example, in some situations, it may not be the manager who demonstrates leadership. A true leader lets others' leadership talents shine.

Beyond having the skills of a manager or supervisor, leaders share the ability and willingness to speak with passion about the mission, take responsibility for themselves and the performance of their program, inspire and give credit to others, and celebrate the group's achievements by giving credit to other members. These qualities often engender the loyalty and commitment of colleagues beyond that given to the leader's official position.

Learning Activity 1-1: Leadership Skills Survey

If you are already a manager, take this survey. If you are not a supervisor or manager, take the survey in Learning Activity 1-2.

Introduction

This survey is designed to provide you with feedback about your level of preference or comfort with leadership characteristics and skills.

Circle the number on the scale that you believe comes closest to your skill or task level. Be honest about your choices. There are no right or wrong answers-it is only for your own self-assessment.

		Very Strong	Moderately Strong	Adequate	Moderately Weak	Very Weak
1.	I enjoy communicating with others.	5	4	3	2	1
2.	I am honest and fair.	5	4	3	2	1
3.	I make decisions with input from others.	5	4	3	2	1
4.	My actions are consistent.	5	4	3	2	1
5.	I give others the information they need to do their jobs.	5	4	3	2	1
6.	I keep focused through follow-up.	5	4	3	2	1
7.	I listen to feedback and ask questions.	5	4	3	2	1
8.	I show loyalty to the company and to the team members.	5	4	3	2	1
9.	I create an atmosphere of growth.	5	4	3	2	1
10.	I have wide visibility.	5	4	3	2	1
11.	I give praise and recognition.	5	4	3	2	1
12.	I criticize constructively and address problems.	5	4	3	2	1
13.	I develop plans.	5	4	3	2	1
14.	I have a vision on where we are going and set long-term goals.	5	4	3	2	1
15.	I set objectives and follow them through to completion.	5	4	3	2	1
16.	I display tolerance and flexibility.	5	4	3	2	1
17.	I can be assertive when needed.	5	4	3	2	1
18.	I am a champion of change.	5	4	3	2	1
19.	I treat others with respect and dignity.	5	4	3	2	1

		Very Strong	**Moderately Strong**	**Adequate**	**Moderately Weak**	**Very Weak**
20.	I make myself available and accessible.	5	4	3	2	1
21.	I want to take charge.	5	4	3	2	1
22.	I accept ownership for team decisions.	5	4	3	2	1
23.	I set guidelines for how others are to treat one another.	5	4	3	2	1
24.	I manage by “walking around” (the front line is the bottom line).	5	4	3	2	1
25.	I am close to the business and have a broad view of where we are going.	5	4	3	2	1
26.	I coach team members.	5	4	3	2	1
27.	I determine manpower requirements for my department and write job descriptions for them.	5	4	3	2	1
28.	I interview and select the most qualified candidate for an open job position.	5	4	3	2	1
29.	I provide new employees with on-the-job training.	5	4	3	2	1
30.	I determine resources, material, and supply requirements for my department.	5	4	3	2	1
31.	I developed a budget for my department.	5	4	3	2	1
32.	I can respond to an employee who is upset with me or someone else in the organization.	5	4	3	2	1
33.	I have counseled employees who have personal problems (family, health, financial).	5	4	3	2	1
34.	I react to situations in which the quality of an employee's work goes into a decline.	5	4	3	2	1

		Very Strong	**Moderately Strong**	**Adequate**	**Moderately Weak**	**Very Weak**
35.	I deal with employees who have performance issues, such as those who are suspected of substance abuse or are chronically late.	5	4	3	2	1
36.	I reward employees for good performances.	5	4	3	2	1
37.	I conduct formal employee performance appraisals.	5	4	3	2	1
38.	I can make a presentation to a group of peers and/or seniors.	5	4	3	2	1
39.	I write reports to be distributed to a group of peers and/or seniors.	5	4	3	2	1
40.	I have a deep-rooted understanding of the functions of my organization.	5	4	3	2	1
41.	I am curious.	5	4	3	2	1
42.	I know how to sell.	5	4	3	2	1
43.	I am a good learner.	5	4	3	2	1
44.	I know how to influence people and get support.	5	4	3	2	1
45.	I admit my mistakes and take responsibility for my actions.	5	4	3	2	1
46.	I like to talk to people and I am a great listener.	5	4	3	2	1
47.	I am a good delegation.	5	4	3	2	1
48.	I can separate the important issues from inconsequential ones.	5	4	3	2	1
49.	I have integrity and can be trusted.	5	4	3	2	1
50.	I am political only when needed.	5	4	3	2	1
	TOTAL					

Total score for all 5 columns: __________ **Final Score**

Scoring

Total each of the five columns and then add the five columns together for your final score. The maximum score is 250 while the minimum score is 50.

As mentioned earlier, there are no right or wrong answers. This means there are no right or wrong scores. This survey is designed to show you the areas you need to improve in. Your lowest scoring answers are the areas you need to improve. See your supervisor or training department for resources to help you to become more proficient in your weak areas.

Use the ranges below for a general guideline of where you stand.

175 and above – You are well on your way to becoming a leader.

125 to 174 – You are getting close.

124 and below – Don't Give up! Many before you have continued with their studies to become some of the finest leaders around.

LEARNING ACTIVITY 1-2: Am I Ready to be a Manager?

Twenty-five years ago, a person may have had 10 years to develop the experience to become a manager. Today, the timeframe is likely much shorter and the learning curve is steeper.

Complete the following self-evaluation, answering true or false to the statements below.

This is not meant to be an exhaustive list of all the competency requirements for managerial effectiveness, or a pass/fail guide. It's simply a way to help you assess your readiness for a managerial role. Respond to each statement as honestly and accurately as you can, based on your current skills. For a statement to be true, you must believe it's true at least 90 percent of the time.

T	F	
❐	❐	I can influence others to follow my direction.
❐	❐	I am confident in my ability to positively influence corporate culture.
❐	❐	I have a model for building a credible strategic plan.
❐	❐	I have a process for creating measurable goals.
❐	❐	I understand how and when to effectively delegate a function.
❐	❐	I can break down complex functions into measurable tasks.
❐	❐	I can build collaborative teams.
❐	❐	I have a conflict resolution model that I can use when needed.
❐	❐	I know how to structure and have a difficult conversation.
❐	❐	I have an effective problem-solving model for finding the most likely root cause of the problem.
❐	❐	I understand how to use benchmarks and key performance indicators to achieve programmatic objectives.
❐	❐	I can manage my personal stress.
❐	❐	I can run an effective and productive meeting.
❐	❐	I use best practices when delivering performance evaluations.
❐	❐	I am knowledgeable about employee relations and the basics of employee law.
❐	❐	I have a decision-making model.
❐	❐	I understand the role of critical thinking in management.
❐	❐	I can conduct a fair and non-biased job interview.

Scoring

Total all of your "True" responses.

Use the table below for a general guideline of where you stand.

15 and above – You have most of the competencies needed to be a manager.

10 to 14 – You are getting close.

0 to 9 – Keep learning and gaining knowledge and skills!

SECTION 3 TRANSITION TO THE ROLE OF SUPERVISOR

Getting Off to a Good Start

Starting a new job brings some excitement, anticipation, and also a bit of apprehension. Being a supervisor means you're responsible for not only your own work, but also for the performance of the people you supervise.

The reality is that your initial days on the job will tell you a lot. Those who want to challenge your authority won't wait for months until you learn the ropes. They'll likely seek to see what you're made of right from the start. So it's important to establish yourself as the boss from the first day forward.

There are steps you can take to get off to a solid start. First, learn what you can about the individuals in your new group before you even begin. Talk with your immediate supervisor, who will have enough working knowledge to bring you up to speed. If possible, talk with the previous supervisor – but take into account they may have their own personal perceptions of a situation that will differ from yours.

Another step to get your feet on the ground is to review the recent performance evaluations and personnel files of the people you will be supervising.

A positive introduction by your boss will go a long way – a strong opening recommendation signals that you have the full support of upper management.

Learning the ropes quickly is important – but beware of making changes right away! It's going to take awhile to learn the job. In three months, some things will be easy, and in six months you will have mastered some things – and will still be learning. Here are some practical tips to learn the ropes quickly:

1. Identify the priorities of your job. Concentrate on learning how to handle these tasks. You can't learn everything at once – focus on what matters most. Watch yourself when you tend to get distracted or procrastinate.
2. Find a seasoned mentor. A wise supervisor whose skills you admire is your best bet, but of course that person has to have the time and inclination to help you. If someone extends an offer such as, "Don't be afraid to ask if you have questions," then accept the offer. Be appreciative and use this person's time well and sparingly.

   Keep in mind that the people you supervise you will give you guidance. Although they can't help you with your supervisory duties, they know the operations. You'll find out who offers you helpful counsel.
3. Listen. The more you listen, the more you'll learn – pretty simple. You won't take in everything all at once. Take notes and don't be afraid to ask questions – the next practical step.
4. Asking questions gives your employees the opportunity to demonstrate their knowledge. There are two basic types of questions; those that seek clarification of what someone is telling you, and those you initiate yourself to learn more about your new job, your employees' jobs, or what has or hasn't been working well.

   A common tendency is to be afraid that asking questions demonstrates you don't know. Asking questions is not a show of weakness but an opportunity to demonstrate your willingness to learn. Being honest about this, and gathering the facts, will enable you to eventually demonstrate that you have learned.

5. Review written materials. Later, we'll discuss more in depth the policies and reports you need to be very familiar with. Consult with your boss so you're not reading vast documents that aren't relevant. But prepare yourself to do some of your learning at home. Early in your job, you won't have much time to read and study at work.
6. You need to know which decisions you can and can't make. You need a clear line of responsibility and authority. You need to know what you need to take to your boss for approval and what things you can institute yourself. What is the management style of your boss?
7. Are there people or departments you will have access to and others you won't? Will you have a relationship with the board? The executive director?
8. Observe the workplace. Do not shut yourself up in your office. Get out into the working area. If you're a public housing property manager, you have to walk your project. Being in the working area gives you the practical knowledge you need and demonstrates your interest in your workers and their jobs.
9. Finally, be on time and stick to the job the full day. Do your best every day. You're setting an example.
10. Don't pretend you're perfect. It's okay to make mistakes. Be honest with yourself and others when you do make a mistake, and learn from it.

Common Experiences of the New Supervisor

The list above is not exhaustive and certainly following it does not mean your transition into a supervisory role will be seamless. Below are some common experiences new supervisors often encounter, despite their best efforts to be prepared.

You were promoted for your technical expertise, which does not play a role in your supervisory duties.

- Your strong technical expertise may have brought you recognition when you were handling a caseload or processing files. Now, as a new supervisor, you're charged with a whole new range of responsibilities, many of which have little to do with that technical expertise.
- You may find yourself frustrated because you don't have complete knowledge. Also, if you have been good at something, you might find it very difficult to let go. Ask yourself: "Can I be happy letting someone else do the work that I know how to do and enjoy doing?" The thing you were best at, you must now do with and through others.

You are now supervising friends and former colleagues.

- It's a common experience. How will your former peers react to having you as a supervisor?
- You and your former co-workers will probably adjust quickly, but there are a couple of pitfalls you need to learn to avoid.
- The first pitfall is the perception of favoritism toward any friend whom you now supervise. Relationships may need to shift, especially if you're now supervising former colleagues. This doesn't mean giving up friendships, but it may mean not going to lunch every day with your buddies, if there could be an appearance of favoritism. Supervision may be a lonely role, especially at first.
- Being a new supervisor may mean weathering some resentment from former peers. If you're supervising a group of former colleagues, you may need to take special care to make decisions collaboratively whenever possible. If you take on the new role with a "high and mighty" attitude, you may find yourself sabotaged. But you will be called on to make decisions, and some of those decisions will be a "tell," not an "ask."
- We need to disentangle ourselves from the grapevine we may have enjoyed. We can't participate in the gripe sessions anymore. We no longer can complain about the agency, our supervisor, other supervisors, policies, or employees.

You feel that you're being tested.

- When you are tested, and you will be tested, be firm and know the rules, regulations, and PHA policies. You can try the rational approach, but if the other person is being driven by emotion, appealing to their reason may not work. Hang on to your confidence. Maintain your personal credibility. You are still proving yourself as a supervisor—you are not nearly all you will be, but you are all that you are now.
- We can't demand that employees or others respect us. Employees will be watching your reactions: how you react under stress, how much you share information, how reasonable you are. Accept that you are being watched. Remember that it's possible for people to feel two different ways about you. They can like you as a person but resent your new authority.

You can't always share what you know.

- In addition, we have to respect the confidentiality of management's decisions. For example, we may have some input into decisions on promotions, so we may have advance information. But we can't share this information. We may not even share how the decision was arrived at, unless management agrees it can be shared.
- The impact we have on the employees we supervise is long-range. We may shape their attitude toward the entire agency.
- You need to make your decisions on the basis of good job management with a whole new set of "rules" and new skills to exercise, both administrative and interpersonal. We have to include the feelings of people in our decision-making, but the principles of management must ultimately guide our decisions.

The Realities of Supervision

1. There is no routine to management work. Chances are that your old job came with a familiar routine. You performed the tasks assigned to you and you did them in a prescribed order. Some things had to be done by noon, while others had to be completed before you left for the day. As a rule, when the day's work was done, your day was over. But for managers, there's no such thing as "the day's work," so bid a fond farewell to routine.
2. People and issues arrive un-prioritized. As a manager, you now have more people and issues to deal with. It's your job to filter them for urgency and importance, and help employees stay focused by doing the same.
3. People start acting differently towards you.You're still the same person, but you're in a different role. Some people withdraw from you; others want to get closer. People can have issues with authority figures. Ultimately, your employees are dealing with managerial change in their own way and trying to figure out what kind of manager you really are.
4. You have to give up your old job.You have a new job so don't hang on to your old one. This can be hard. After all, it's because of your previous success that you've been promoted. But failure to let go of your old job causes more problems for first-time managers than anything else.
5. Guard against the perception that certain people are your favorites. Yesterday you had coworkers; today you have employees. While it's only natural to like some individuals more than others, you no longer have that luxury as manager. Employees are keenly aware of who has direct access to you. In the past, you had coffee or lunch with the same people every day, but if you keep this up, your employees will earmark these people as "your favorites."
6. Employees *want* their manager to manage. Friendly behavior is great, but it shouldn't be a substitute for good managing. Your employees expect you to deal with poor performers at work. You need to demonstrate that you will not tolerate poor performance, whether by employees or in the results of your program. If you're fair and decisive, your good performers will give you their hard-earned respect and best effort.

Group Discussion

What did you encounter that has helped or hindered your transition as a supervisor? You won't be asked to share anything you're not comfortable sharing!

Making the Transition Easier

It’s helpful to remember that the problems mentioned exist for most people when they take the first big step. We are not the first, nor are we the only people who have encountered these situations. Remember that there is a reason why you were chosen to be a supervisor. It involved someone’s good judgment. They felt you could do the job.

A helpful beginning step is to find out what you don’t know about the agency and your program. You may need some history about the agency or program. Are there annual reports you could look at? What about PHAS or SEMAP scores, if those are relevant to your new supervisory duties? Program performance statistics and other quality control reports? Do you have the current organizational chart? Read your human resources policies. You may need to get briefed on some or many of these reports and policies.

SECTION 4 PROFESSIONALISM

Levels of Management

As you make the transition into a supervisory role, knowing your agency is an important aspect to effective supervision. Organizations may have different levels of management, including executive managers, middle managers, supervisors, and frontline supervisors.

- The board of directors is the group of people who are legally charged to oversee, or govern the organization.
- Executive management is responsible for overseeing the entire organization or some major function in the organization. They conduct most of the strategic planning rather than engage in day-to-day detail.
- Middle managers work for executive management, are in charge of a major function or department, and they in turn may have supervisors or first-line supervisors working for them.
- Supervisors are considered frontline managers and are responsible to manage the day-to-day activities of a group of workers.

An organization may also have different types of managers across the same levels in the organization.

- A project manager is in charge of developing a certain project, for example, development of a new building.
- A functional manager is in charge of a major function, like marketing, sales, engineering, human resources, or finance.
- A program manager is in charge of a program service, such as the housing choice voucher program or resident initiatives.

The Supervisor as a Professional

Like any other supervisory skill, professionalism requires training, commitment to excellence, support from the organization, and putting what we're learning into practice.

Principles of Professionalism

A supervisor who values and consistently demonstrates professional behaviors will instill public confidence, engage in fair and equitable practices, and build lasting professional relationships with colleagues, superiors, and the community.

- Honestly represent yourself and take action only within your area of professional competency and authority.
- Avoid actions that are, or could be perceived as, a conflict of interest or for individual gain.
- Offer or accept only appropriate incentives, goods, and services in agency transactions.
- Honor all written and oral contracts.
- Work for clarity and mutual understanding through complete, accurate, and timely communications.
- Ensure rights to privacy and protect the confidentiality of privileged information, whether received verbally, in writing, or electronically.
- Commit to the responsible use of resources in accomplishing the agency's goals.
- Pursue educational and professional growth through training and the sharing of knowledge, expertise, and skills, in order to further personal, professional, and agency goals.
- Respect all people regardless of ethnicity, national origin, race, religion, socioeconomic status, sex, marital status, age, gender, disabilities, or any other personal attributes.

My Opinion About My Work

My Opinion About My Work	Yes	Rating	Again	Again
I should be involved in the decisions made in my department.				
People should be quiet and polite in the workplace.				
It's important that everyone be heard during a meeting.				
People in authority usually know what they are doing.				
Everything, or almost, should be in order in an office.				
I like to have 15 minutes to clean up my work area at the end of the day.				
It's annoying when people constantly ask me to work longer hours.				
I try to know most of what is happening in my agency.				
I know my job really well. That's what's important.				
I need a quiet place to concentrate when I'm working.				
I like to have background music or chatter when I'm working.				
Some of what I do requires absolute quiet.				
Some of the things I do can be done when there's noise.				
I like working with a team or group more than I like working alone.				
It doesn't bother me to be disturbed when I'm working.				
I like it when my colleagues ask me questions about my work.				
Everyone on a work team should try their hardest to get the work done.				
It's okay if some people on a work team are slower than others.				

My Opinion About My Work

My Opinion About My Work	Yes	Rating	Again	Again
Even when a job doesn't get done well, someone is learning their task.				
I would rather do a job myself than to have it done poorly.				
I would rather do a job myself than to feel it's done poorly.				
I think it's important to let people learn even though they may struggle with a task.				
I think a good supervisor knows when to step in and just get the work done.				
It's important for a supervisor to know all that is happening on a team.				
It's important for a good supervisor to know all that is happening in an agency.				
I feel badly when my work is turned back to me to redo.				
I like to hear early and completely if some job I'm doing is going wrong.				
When I leave work I'm done. I don't think about it on my off hours.				
When I leave work I think about the most difficult work things in my off hours.				
When I leave work I think about everything until I get back to work.				
I like most of the people I work with.				
I do not like most of the people I work with.				
I feel I'm on a mission when I'm working.				
In my work, I feel like I'm doing something important for my community.				

My Opinion About My Work

My Opinion About My Work	Yes	Rating	Again	Again
I should be the best I can be in my work.				
My work only really demands a little effort.				
I give it my all at work.				
I don’t care if anyone notices how well I do my job.				
I want to be working here for a very long time.				
I should be getting more and more responsibility in my job.				
I shouldn’t need to answer unnecessary questions at my job.				
I shouldn’t be asked to do things that are not in my job.				
People should work for a living.				
People should be kind to those less fortunate than themselves.				
Everyone needs to give back to the community in some way.				
I should feel safe at work all of the time.				
My agency should prepare me to do a good job.				
I should come prepared to do the job.				
I should involve my supervisor in my work.				
I shouldn’t need direction to complete my work.				
I should get regular pay raises for doing my job.				

Your Professionalism and the Job Well Done

Among the many meanings of the word, a professional means a well-trained person or someone who is good at their work. To be a professional in this regard implies that you are not only good at your job, but that you can be depended on to do it with the same quality and vigor over time.

Being a professional means more than simply acquiring a degree. It means being true to your chosen profession and trying to excel in any job assigned to you.

Professionalism is an attitude towards work and work relationships: a belief that doing work right, with integrity and commitment, makes a difference.

Using Your Role Effectively

When we are in situations where we are unsure, unhappy, or frightened, we can fall back on defensive or habitual behaviors. For example, we can attempt to take control. Or we can blame others or the situation. However, in these situations we can actually lose control because of our ineffective use of power.

Flexibility and understanding allows you to be more powerful and effective in difficult situations. Consider some of the following ways of meeting a difficult situation:

Build Bridges

The sign of an effective professional is that they can turn a difficult situation around and bring out the best in all involved. Instead of withdrawing to complain or escalating in defense, create alliances and allies by supporting the strengths of all involved and allowing each and every person to save face and feel safe.

Get Along

Pay attention and learn from others! Learn where people put their most intense energy and attention. What makes them happy or confident? What makes others angry or afraid?

Be willing to help your employees and colleagues through times when they are afraid or angry and support those parts of themselves they most like. There are several “powerful” benefits to this technique:

- If someone feels good about themselves when they are around you, they will see in you the qualities they most admire in others
- They may go out of their way to help you, even putting your needs and interests ahead of their own

Give Up Front

Don’t act like you know if you don’t. If you always have to be right, you’re not going to do the right thing. Gather the facts. To show commitment to the group and the topic at hand, offer something up front, unasked.

You Don’t Manage People, You Lead People and Manage the Work

Accepting people for who they are, while setting clear expectations for the work to be done, is a hallmark of professionalism. We’ll explore this concept further.

SECTION 5 CHAPTER 1 POST TEST

1. The supervisor is an advocate for the agency but not for the employees.
   a. True
   b. False

2. Good supervisors manage many roles by doing which of the following?
   a. Understanding the mission of the organization
   b. Knowing themselves
   c. Following basic supervisory principles
   d. Understanding performance standards and what's expected
   e. All of the above

3. Leadership is demonstrated every day.
   a. True
   b. False

4. Some examples of professionalism include all of the following except:
   a. Your second cousin, Henry, owns XYZ Construction Company, and has bid on a PHA project to upgrade the office facilities. You are asked to review the bids and make a recommendation. Because you must avoid actions that could be perceived as conflicts of interest, you report the relationship as a potential conflict of interest.
   b. You happen to know some details about the Bergin family's private life because your aunt is their neighbor. The Bergin family is on the housing choice voucher program. Because these private details don't involve or affect their voucher and there is no law or regulation about privacy in this case, it's okay to tell your colleagues about what you know.
   c. You are working on finishing your degree and your final written assignment is due and you're out of paper at home. You're the last one out of the office and no one would notice if you took a ream of paper home. But character is what happens when no one is looking. You don't take paper from the agency.
   d. Even though some applicants or participants act out in aggressive or hostile ways, you show the same level of respect to everyone, even when it means setting limits.

5. Supervisors are always responsible for being the technical expert for the team.
   a. True
   b. False

6. A common definition of management is:
   a. Telling others to get back to work
   b. Designing systems and procedures
   c. Understanding laws
   d. Getting things done through others
   e. All of the above

7. General functions of management in any organization are planning, organizing, directing, and coordinating.
   a. True
   b. False

8. A supervisor is a spokesperson for the union and is responsible for representing relevant unions.
   a. True
   b. False

9. Some ways you can successfully navigate the transition to supervisor include:
   a. Study the program's relevant policies, software, and required reports.
   b. Never admit you don't know something.
   c. Avoid even the perception of having "favorites."
   d. All of the above.
   e. a and c

10. An important part of the knowledge, skills and abilities we learn as leaders is to put what we're learning into practice.
    a. True
    b. False

Notes

CHAPTER 2 The Supervisor and the Organization

Learning Outcomes

Recognize how to integrate the PHA's vision, mission, and goals in effective supervision and management.

Describe various organizational structures.

Identify key organizational policies and differentiate between mandatory and discretionary policies and policy provisions.

Identify principles and strategies of working collaboratively within the agency and community.

Discuss the elements of workplace politics.

Overview

Now that your role and individual strengths and areas of improvement as a supervisor have been identified, we'll explore how your role fits into the housing authority. In order to fill your role effectively, you need to understand your organization's structure, culture, and goals.

SECTION 1 MISSION, GOALS, AND STRATEGIES

All organizations have a purpose or mission - what they seek to accomplish. In addition, many modern organizations state a vision or a clear statement of what the community will look like when the mission is successfully completed.

For example, one housing authority's mission statement is:

> *Our mission is to ensure that everyone has safe, clean, and affordable housing by providing both housing choice voucher and public housing rental assistance with public and private partners, in an atmosphere of collaboration and high ethical standards.*

The vision statement is:

> *Our vision is a community in which everyone has decent, safe, and affordable housing.*

Goals are an organization's major milestones or accomplishments that are consistent with the agency's ultimate purpose. While we accept that a vision may be reaching beyond previous achievements, goals should be achievable in the "real world." Goals must be measurable.

It is important for organizations to establish goals and then communicate them throughout the entire agency. The ways an organization intends to accomplish its goals are its objectives or strategies. Objectives and strategies are way to measure whether or not goals are being attained.

Most organizations review their vision and mission, and establish their goals and strategies during the PHA annual or five-year plan process, MTW plan process, or a longer-range strategic planning process.

The board of directors, management team, supervisory group, and ultimately the line staff, all have a role in the planning process.

To be an effective supervisor, you must have a clear and working understanding of your organization's mission, vision, goals, strategies, and resources. You must accurately communicate these vital notions to your team, staff, and community.

Effective supervisors can establish clear goals for their team and influence their colleagues to achieve those goals, and in the end the goals and mission of the organization.

Using the Vision, Mission, and Goals of the Organization

Once the PHA has established its mission and vision statements, and you know where you are heading, the challenging part can be getting there. We will now discuss how practice, organization, policies and key documents all affect our success in fulfilling our mission.

Job Descriptions

Periodically, the housing authority needs to review its existing job descriptions and develop descriptions for new positions determined necessary for the agency to fulfill its mission and goals. It's important to be as accurate as possible in developing job descriptions because they are the basis for determining pay and benefits, teaching the job to a new employee, and conducting performance evaluations.

Performance Standards

Once good job descriptions have been developed, many high-performing agencies develop performance standards, which are written statements describing how well a job should be performed.

Standards provide a benchmark against which to evaluate work performance. While the job description describes the essential functions and the tasks to be done, the performance standards define how well each function or task must be done in order to meet or exceed expectations. PHAS and SEMAP, as well as other internal benchmarks, should be used as management tools to measure performance.

Typically, the people that set the performance standards and conduct corresponding evaluations in an agency are members of some level of management.

Vision
How It Will Be
Mission
What We Are Trying To Achieve
Goals
What We Want to Accomplish
Objectives
What We Measure
Activities-Outputs
What We Do
Results-Outcomes
What We Accomplish
Job Descriptions
Performance Standards
Competencies
Knowledge Skill Ability

Great

Good

Fair

Supervisory Competencies

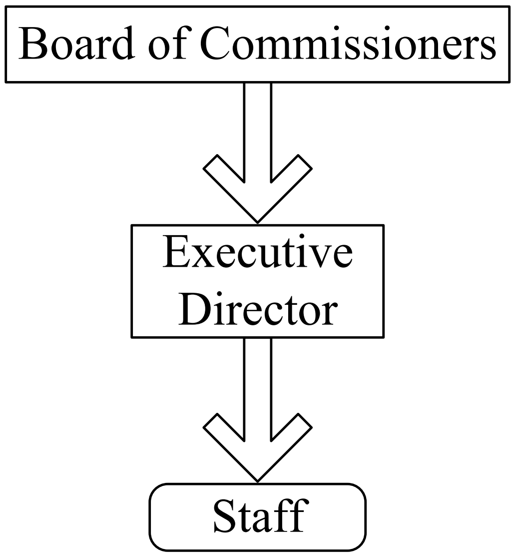
SECTION 2 DEPARTMENTS AND THE ORGANIZATIONAL CHART

Organizations may have different levels of management including executive managers, middle managers, and supervisors.

- The *board of directors* is the group of people legally charged to oversee or govern the organization.
  - The board does not make operating decisions.
  - The board has only one employee, the executive director. The executive director is hired to make operating decisions.
- *Executive managers*, *chief operating officers*, or *presidents* are responsible for accomplishing the goals of the organization identified by the board.
  - Executives oversee the entire organization. In larger housing authorities, executive directors don't manage day-to-day details. The smaller the agency, the more functions the executive director probably handles.
- *Middle managers* work for the executive director, are in charge of a major function or department, and they, in turn, may have supervisors or first-line supervisors reporting to them.
  - **Who are the middle managers at your agency? What do they do?**

- *Supervisors* are responsible for the day-to-day activities of a group of workers.
  - Supervisors and their employees are the people at an agency that do the day-to-day work.
  - **Besides you, who are supervisors at your agency? Describe that role.**

The graph below illustrates the basic chain of command in a housing authority.



Among management and for all employees, the chain of command, or "who reports to whom," depends on the organizational chart.

Organizational Charts

Organizational charts show the levels of management as well as the relationships between and among managers, supervisors, and functional groups within an organization. The chart is useful in explaining the organization to community members, customers, and staff.

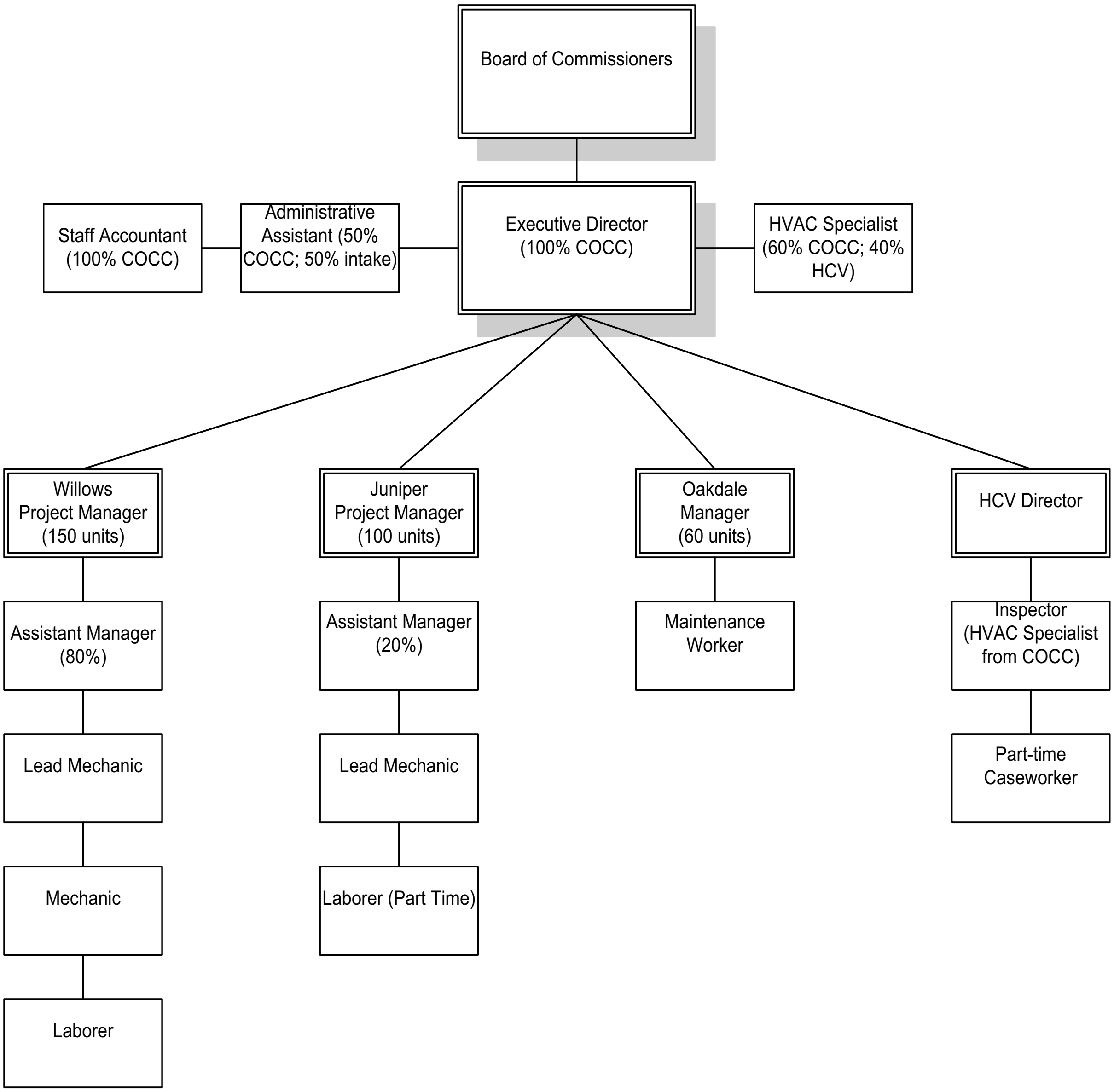
The highest or formal authority is depicted at the top of the page. The chain of authority, or sequence of "who reports to who," is shown in descending order to the bottom of the page with lines of authority (i.e., what positions officially report to what other positions).

Positions or job titles are shown rather than names of people because the organizational chart specifies major roles in an organization, not the individual employees.

An organization has only one official organizational chart showing an effective date and the approval authority.

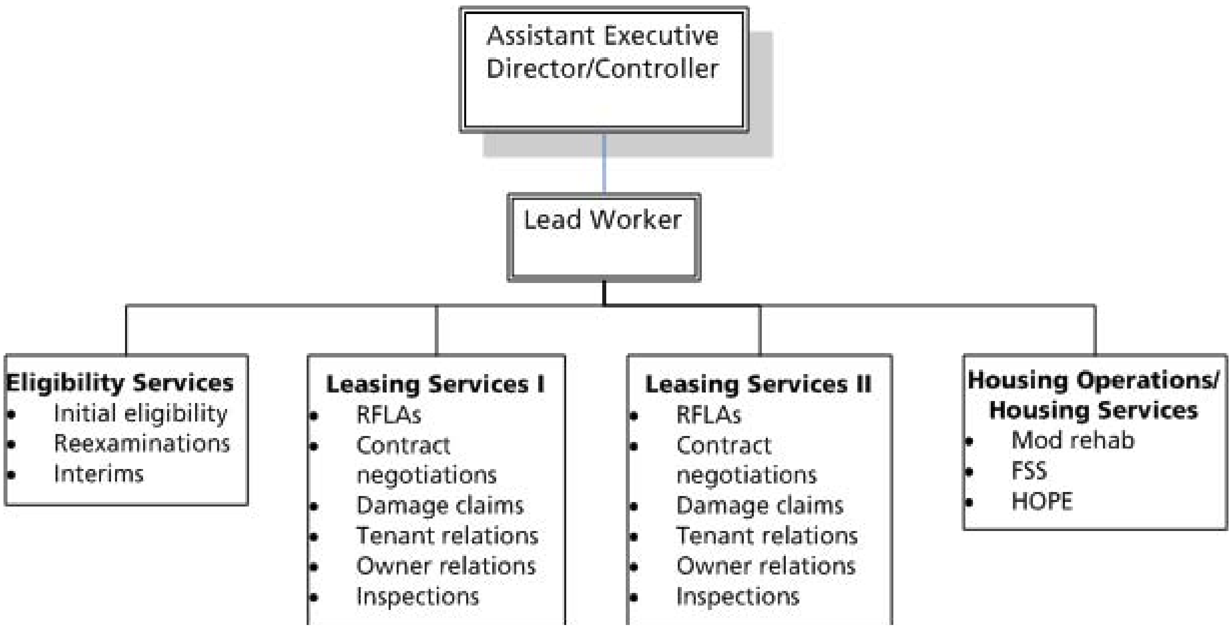
Let's look at some examples of organizational charts. Put a star next to the chart that appears most similar to the organization of your PHA. Highlight where you fit into the structure.

Below is an example of the organizational chart for a small housing authority, with two public housing projects, a 202 project, and a small voucher program.



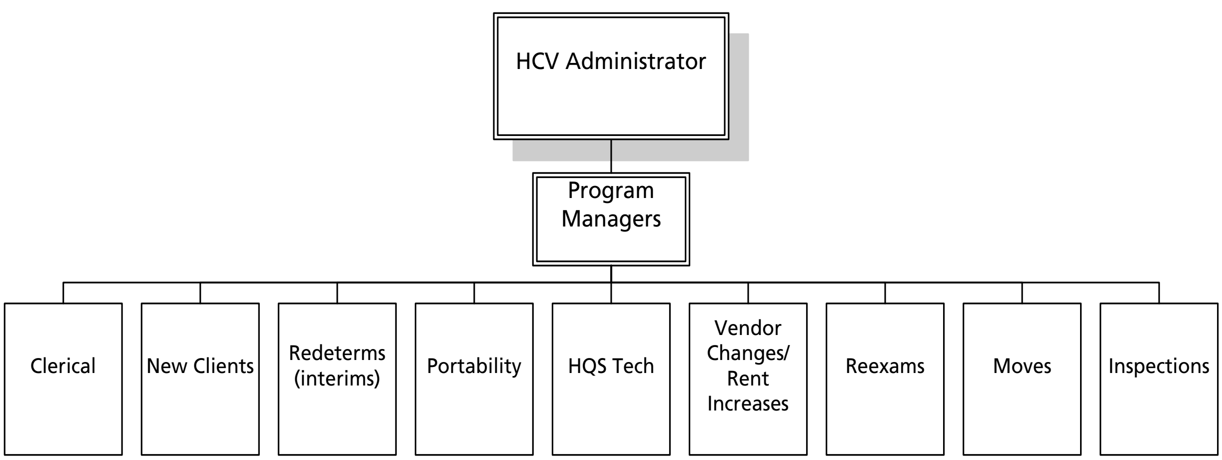
Below is an organizational chart for a large voucher program. This agency chose to break its workload into two areas:

- Those activities requiring routine processing and technical knowledge, handled by the eligibility services group; and
- Those activities requiring a high level of human relation and negotiating skills, handled by the leasing groups.



Some agencies adopt a flatter structure. This could entail a case management model, where employees have a caseload and are knowledgeable about all aspects of the program, for example, from initial eligibility through program participation. Another flatter model would be where individuals are specialists in discrete functions of the program.

This structure requires considerable cross-training, communication, and cooperation. Below is an example of a flatter structure in a voucher program where employees are specialists.



Section 3 Organizational Policies

There are many rules and regulations that govern how business is conducted in a housing authority. Many of these rules and regulations are mandates found within a law, and many are required by HUD regulation. HUD regulations must be followed precisely, not only to ensure compliance, but to ensure ongoing funding.

Despite the many external rules and regulations, the housing authority must still make a series of decisions itself. These independent decisions about how to conduct business are included in the agency's policies.

Housing Authority Policies

Policies are the agency's description of which decisions it will make during the course of business when such decisions are not already predetermined in the law or regulation. Housing authorities use federal laws, HUD regulations, HUD guidance, state law, and best practices to develop its policies. HUD allows a housing authority to tailor its decisions to meet local customers' needs.

Once the board adopts policies, the housing authority must follow them closely to make sure that day-to-day business decisions are made without prejudice and in a manner that is neither discriminatory nor arbitrary.

While policies are descriptions of what decisions an organization will make, procedures describe how these decisions will be implemented.

Changing a policy requires a vote of the board of commissioners.

Mandatory and Discretionary Policies

Mandatory Policies and Procedures

HUD provides the primary source of PHA policy through federal regulations, HUD notices and handbooks. Compliance with federal regulations, current HUD notices and HUD handbooks is mandatory.

The following references are binding (i.e., they must be followed):

- Statutes
- HUD regulations (The governing regulations for the HCV program are located principally in 24 CFR Parts 5, 982, and 985.)
- Current PIH notices
  - Most PIH notices have an expiration date.
  - PIH notices may be extended or reinstated.
- HUD handbooks
- Forms required by HUD regulations (such as form-HUD 50058)
- Opinions or rulings by HUD's Office of General Counsel (OGC)

Examples:

- 24 CFR 982.207(a)(2): "The PHA ***shall*** consider public comment on the proposed public housing agency plan (as received pursuant to §903.17)."
- 24 CFR 982.207(a)(4): "The PHA ***shall not*** deny a local preference, nor otherwise exclude or penalize a family in admission to the (HCV) program, solely because the family resides in a public housing unit."
- 24 CFR 982.207(b)(3): "The PHA ***may not*** adopt a preference for admission of persons with a specific disability."

Discretionary Policies and Procedures

Discretionary policies or procedures are decisions made by PHAs within legal and regulatory limits for the purpose of clarifying regulations, as needed, without changing their intent; providing guidance and direction in areas on which HUD is silent (such as fraud detection); and following a HUD requirement with one or more discretionary components (e.g., establishing subsidy standards).

Example:

- 24 CFR 982.202(b)(3): "The PHA preference system ***may*** provide a preference for admission of families with certain characteristics from the PHA waiting list."

HUD provides nonmandatory guidance to PHAs through HUD published guidebooks. Expired HUD Notices and handbooks also provide guidance for PHA policy.

Following HUD guidance is optional, as long as PHA policies comply with federal law, federal regulations and mandatory policy.

The following HUD references are nonbinding (i.e., PHAs are urged, but not required, to follow them unless the guidance they provide is based on mandatory references:

1. Guidebooks
2. Notices that have expired
3. Handbooks that have expired
4. Recommendations from individual HUD staff

"Safe Harbor"

Because HUD has already determined that the guidance it provides is consistent with mandatory policies, PHA reliance on HUD guidance provides the PHA with a "safe harbor."

Because HUD guidance is optional, PHAs may use alternative approaches to developing policies and procedures in discretionary areas. However, they must then make their own determination of consistency with applicable requirements.

State Law

Where there is no mandatory federal guidance, PHAs must comply with state law, if it exists.

If state or local laws impose nondiscrimination requirements that differ from federal law, the more rigorous standard—the one providing greater protection for the individual—generally prevails.

Industry Practice

Where no law or HUD authority exists on a particular subject, industry practice may support PHA policy. An industry practice is a way of doing things that most housing authorities follow.

Key Program Documents

The PHA Plan

The PHA Plan, required by the Reform Act of 1998, is Congress' mandate that PHAs submit a business plan. The PHA Plan consists of a Five-Year Plan or an Annual Plan.

Qualified PHAs are exempt from submitting a PHA Annual Plan.

- A qualified PHA, established under the Housing Economic Recovery Act (HERA), is defined as a PHA meeting the following requirements:
  - The sum of public housing dwelling units administered by the PHA and the number of vouchers is 550 or fewer; and
  - The PHA is not designated as a troubled PHA under section 6(j)(2) (extent to which the public housing agency is providing acceptable basic housing conditions) and does not have a failing score under SEMAP during the previous 12 months.

While qualified PHAs are exempt from submitting a PHA Annual Plan, they are not exempt from the requirement to hold an annual public hearing.

PHAs are required to establish one or more Resident Advisory Boards (RAB) to enable residents to advise the PHA in plan development. The membership consists of individuals who reflect and represent the residents assisted by the PHA. The RAB makes recommendations regarding the development of the PHA Plan, and any significant amendments or modifications to the plan.

Any discretionary policies changes (such as to the HCV Administrative Plan or the Public Housing Admissions and Continued Occupancy Policy) that are a significant amendment must undergo the PHA Plan process with a public hearing.

The Moving to Work (MTW) Plan

The Moving to Work (MTW) Demonstration Program allows PHAs exemptions from many existing public housing and voucher rules, and provides funding flexibility with how they use their federal funds. MTW PHAs, in lieu of a PHA plan, are required to submit an annual MTW plan and an annual MTW report.

The annual MTW plan must be submitted to HUD with a board resolution approving the plan and certifying that a public hearing was held regarding the plan.

While MTW agencies have considerable flexibility, they must still abide by all other federal rules and regulations, including the Fair Housing Act, the Civil Rights Act, labor standards, environmental rules, procurement guidelines, demolition and disposition procedures, and relocation regulations.

- For all activities that affect their residents' rent payments, PHAs must also conduct an impact analysis that recognizes the unforeseen circumstances and develop an appropriate hardship policy.
- These safeguards help minimize any potentially negative impact of MTW on residents and communities.

The Administrative Plan

The Housing Choice Voucher (HCV) Administrative Plan (Admin Plan) is required by HUD. The purpose of the administrative plan is to establish policies for carrying out the voucher program in a manner consistent with HUD requirements and local goals and objectives contained in the PHA's agency plan.

The required contents of the administrative plan are described in 24 CFR 982.54.

The administrative plan summarizes how each PHA will implement the statutory or regulatory requirements in its jurisdiction.

Admissions and Continued Occupancy Policy (ACOP)

The Admissions and Continued Occupancy Policy (ACOP) is the PHA's principal statement of the policies to be used in the administration of the public housing program. As we mentioned for the Admin Plan, PHAs must adopt a written ACOP that establishes local PHA policies for the administration of the program in accordance with HUD requirements.

Specific requirements for tenant selection and assignment policies (TSAP) are at 24 CFR 960.202.

The Lease

The lease is the contract between the PHA and the public housing resident family.

Procurement Policy

Applicable procurement regulations can be found at 2 CFR Part 200.

The HUD Procurement Handbook 7460.8 Revision 2 that was issued in March 2007 is a mandatory reference for the public housing program. The handbook clarifies that the procurement regulations are not applicable to the housing choice voucher program. However, many HCV-only PHAs use the handbook as a guide to develop a procurement policy.

In August 2020, HUD posted a new HUD Procurement Guidebook. The new Procurement Guidebook is found at https://files.hudexchange.info/resources/documents/PHA-Procurement-Training-Guidebook.pdf.

Procurement policy establishes the level of expenditure for the executive director and/or designees—the amount they may expend before board approval is needed. This includes methods that will be used for purchase and/or contracting (e.g., small purchases, competitive proposals, sealed bids, request for qualification solicitations).

PHAs must comply with state as well as federal law in their procurement policy. If federal and state laws are in conflict, such as dollar level for "small purchases", then the more restrictive law prevails. Policy may include travel and disposition requirements.

Human Resources Policy

HUD no longer provides directives or guidelines for PHA personnel policy. The PHA should develop a human resources policy that includes the basis for selection, development and discipline of staff employed by the PHA.

The policy should define benefits for employees, paid holidays, grievance procedures, and the process that will be followed for promotional, transfer opportunities at the PHA.

The board of commissioners approves all of the PHA's policies, including the human resources policy. Administration of human resources policy is the executive director's job.

That is, after the board approves the policy, the executive director is expected to ensure that the PHA follows it.

The policy is usually reviewed annually, or at same time labor negotiations are conducted (e.g., depending on the terms of the labor contract).

PHAs that are part of a city or county government do not require a separate human resources policy.

Need for Human Resources Policies

Supervision must be practiced in compliance with the policies and procedures of the organization. Policies regarding personnel dictate the relationship between the employee and the organization, and the department and the management, as well as the relationship between an organization's internal functions and the external environment.

There are numerous rules and regulations which govern the nature of the relationship between an employee and the organization, for example:

1. Benefits and compensation
2. Managing personnel files
3. Employee retirement
4. Rights of privacy
5. Discrimination and harassment
6. Wrongful termination, etc.

Consequently, it’s better to have thought out these potentially litigious situations before they occur and establish guidelines by which they might or will be addressed.

Wrongful termination is one of the most common legal challenges to a PHA.

If supervisors routinely accept behaviors of employees that do not conform to the human resources policies and there is a legal challenge, courts will consider the related policies to be superseded by the actual behaviors displayed and/or accepted by the supervisors. In other words, the courts may consider accepted workplace behaviors the “de facto” or “in fact” policies. A number of lawsuits are brought against agencies because supervisors do not follow policies even though there are policies in place.

Training on Policies

It is critical that employees receive initial and ongoing training on each of the agency's policies and that they have a clear understanding of each policy.

Employee training on organizational policies can be accomplished by:

- Including all policies (at least by reference) in an employee manual, which is reviewed and kept by each of the employees.
- Conducting an employee orientation with each new employee that includes an overview of major policies and the employee manual.
- Providing regular, ongoing training of selected policies to current employees. Studies show that to be integrated into workplace behavior, significant changes need to be discussed verbally as well as presented in writing.
- Requiring employees to sign a statement that they have been trained in and understand the organization's policies.

Practical Tips – The First Policies You Need to Know

If you're a supervisor or a manager in the housing choice voucher program, these are the first policies you want to become very familiar with:

PHA Plan	*Hearing policies*
Administrative Plan	*Reasonable accommodation process*
HAP Contract	*The HAP budget*
Request for Tenancy Approval	*Human resources policy and employee handbook*
The Voucher and tenancy addendum	*Relevant personnel records*
The administrative budget	

If you're a supervisor or a manager in the public housing program, these are the first policies you want to become very familiar with:

PHA Plan	*The operating budget*
Admissions and Continued Occupancy Policy	*The capital budget*
Public housing lease	*Inventory control*
Procurement policy and forms	*Insurance and risk management plan*
Grievance procedures	*Human resources policy and employee handbook*
Fair housing and 504 compliance	*Emergency management plan*
Capital 5-year plan and physical needs assessment	*Relevant personnel records*

Additional Practical Tips – What Else You Need from the Start

As if those weren't enough, here are some of the other essentials you need to have and grasp in order to do your job well. We'll see an example of an onboarding plan for an HCV director in Chapter 4.

Software programs you'll use	*What you'll be signing off on as a supervisor*
24 CFR (online)	*What you need your boss to sign off on*
PIH Alert (e-mail)	*Quality control tracking methods*
PHAS and/or SEMAP scores	

Major Policies of a Housing Authority

Consider the following list to get an idea of some of the major policies in a housing authority. This list is not exhaustive and does not include all of the possible policies for an agency, and not every agency each of these policies.

Board of Directors
Mission/vision/values
Goals and objectives
Organization chart
Bylaws
Board calendar

Planning
Annual Contributions Contract
Equal Housing and Opportunity policy
Drug-Free Workplace policy
Budgets
Audit report
PHA Plan

Program Policies
Administrative Plan
ACOP
Public housing lease
Procurement policy
Capital 5-Year Plan
Physical needs assessment
Inventory control

Information Management
Operations manual
Client records
Personnel records
Financial records
Computer back-up and storage
Disaster and recovery plan

Human Resources
HR policies
Employee handbook

Finance
GAAP accounting procedures
Finance policies and procedures
Budgets
Payroll record system

Communications
Communications plan
Annual report
Agency brochure
Media relations plan

Insurance
Risk management plan
Insurance needs assessment

Legal
Incorporation documents
Corporate records
Fair Housing and 504 compliance

Facilities
Accessibility plan

LEARNING ACTIVITY 2-1: Procedures

Procedures and procedural guidelines can be just as important as policy. It's essential to define and spell out procedures because:

- Written policies can be applied incorrectly if procedures aren't clear and consistent.
- Not everything is a policy. Many day-to-day operations are a matter of doing good business, and are therefore procedures and not policy.
- Policies must be approved by the Board, whereas procedures can be revised more quickly.

Below is an example of a procedure:

Excerpt of EMERGENCY TRANSFER Procedures

Property Manager
For emergency transfers, see ACOP Transfer Chapter 12, Section I.B. and C. *Complete Transfer paperwork [Emergency Transfer Referral form]* *Upon Property Manager approval of transfer, email paperwork to PH Program Manager*
PH Program Manager
Upon receiving paperwork and approval, place family on transfer list with emergency preference *Identify unit for transfer* *When transfer unit is identified, email Receiving (at site where transfer unit is located) Property Manager and Assistant Property Manager*
Receiving Assistant Property Manager
Call to inform tenant of transfer unit availability *Schedule unit showing* *Follow up with Transfer Unit Offer letter* *Notify Sending Property Manager and Assistant Property Manager (where resident is coming from) that offer is pending for said resident*
Receiving Property Manager
Show unit *If family refuses unit for good cause, see ACOP Transfer Chapter 12-IV.D.* *If good cause verified, email PH Program Manager, Sending Property Manager and Assistant Property Manager* *If family refuses offer with no good cause, refer to PH Director for referral to Legal* *If family accepts unit, conduct move-in inspection with family* *Orient family to site, unit, vicinity as described in Lease-up Procedure* *Generate work orders as needed*
Receiving Assistant Housing Manager
Email Sending Assistant Housing Manager of acceptance of unit

Your Procedures

Consider procedures for one of the sample policies listed below. We've supplied an example to start you off.

Policy	Procedures/Guidelines
PH Example: The PHA will make every effort to keep units filled with a vacant unit turnaround time within 20 days.	Applicants will be processed in adequate numbers to fill units. In busy months, this may mean 10 or more applicants for every unit expected to become vacant. There will be a pool of at least 10 approved applicants at all times.
	All offers will be documented in the software system the same day as the acceptance or rejection is received, and the reason(s) for rejection.
Unit offers will be made in a timely manner in order to fill vacant units promptly.	Within one business day of rejection, an offer will be made to the next highest-ranking approved applicant.
HCV Example: The PHA will ensure utilization of at least 98 percent of baseline vouchers or available budget authority.	The administrative assistant will conduct briefings monthly and will compile families' briefing packets at least three days in advance.
	The Two-Year Tool will be monitored each month. Utilizing the TYT, the appropriate number of applicants will be processed (or not processed).

SECTION 4 WORKING COLLABORATIVELY

Introduction

Cooperation is working well with others. Collaboration is working with others in new ways. Some organizations are changing from a traditional “command and control” structure to a “team” orientation. As housing authorities manage more by business principles, become more fast-paced and entrepreneurial, and as housing authorities implement the public housing asset management model, collaboration will be essential to the success of the agency.

- For example, in public housing, the property manager is the “captain” or “mayor” of the project. More responsibility, accountability, and autonomy are given to property managers as the housing authority implements project-based accounting, budgeting, and management.

Collaborating Effectively

You need to work with others in new ways when you’re establishing a new program or new goals, when you’re working multi-departmentally to improve performance, or when a new team has been formed.

Earlier, we talked about professionalism and some principles you can use to effectively work with others. Let’s expand on these principles in the exploration of collaboration.

Sharing Information

Sharing information and expertise can be critical in driving both your success and the agency’s. Collaboration yields results by fostering innovation. Housing authorities must partner with employees, communities, partners, customers, and others. Collaboration includes:

- Making information available to more people in the organization
- Changing the corporate culture to one of collaboration and trust
- Implementing tools to harness collective knowledge, experience and communities.

Be alert to opportunities to collaborate for success. From working with a forward-thinking manager to younger workers who have grown up in the Web-based world, working collaboratively gets it done better—and it’s more fun.

Five Essential Skills for Working Collaboratively

Working in a group setting can be a frustrating or time consuming endeavor. Below are some strategies that can result in more successful collaboration. Think about how you have or can use these strategies in your own collaborative efforts. As you read, draw a plus sign next to those strategies you are currently using successfully and a check mark next to the strategies you could improve upon.

	Think win-win. Foster a nondefensive attitude among employees, and reward people who care about others' interests and needs as much as their own. Mutual success is the hallmark of positive, long-term relationships.
	Speak the truth. Dishonesty poisons the workplace. If you're serious about changing your corporate culture, you must speak—and vow to listen to—the truth. Collaborative managers are open, honest, and "out there" with their intentions, observations, and feelings, and they receive the same candor in return. They're also excellent listeners—behavior you must model if you want others to follow suit.
	Be accountable. There's no room for shame or blame. Promote an atmosphere in which people take responsibility for their performance and their relationships. Encourage everyone to choose to change what's not working. And recognize employees who focus on solutions.
	Be self-aware—and aware of others. Pay attention to your thoughts, feelings, emotions, intentions, and behaviors, and work just as hard to understand those around you. Create an environment where people feel free to ask what's going on when they don't "get" something. Also, value forgiveness—this gives people permission to take risks and correct mistakes.
	Learn from conflict. All relationships bump up against conflict once in a while—especially when deadlines and other pressures loom. The key is to use the conflict to learn and grow. Focus on understanding everyone's underlying interests, then seek mutually beneficial solutions. When you hit a wall, take a time-out, consider what's going on with you and those around you, and then start over.

Collaboratively Working with Your Boss

In terms of your collaborative working relationships, you need to first work collaboratively with your supervisor. It is important to respect your relationship to your supervisor in the agency's chain of command. Remember, though, your boss may be one step removed from a situation or problem and therefore may base a decision on inaccurate or incomplete information. It's one of your primary responsibilities to provide your supervisor with accurate, up-to-date information, even if it's not good news. Any boss hates to be blind-sided because of missing or inaccurate information.

Here are helpful reminders for working collaboratively with your boss:

- Be aware of all the varied roles you have, and know when to use them.
- Don't assume your boss is a mind reader; keep them informed on what you're doing.
- Ask for help when you need it, but don't create reasons to need them.
- Support your boss at every opportunity, if you have a concern go to your boss directly.
- Go out of your way to make your boss successful, and don't try to take credit.
- Interpret your boss to others as positively as possible.
- Consult and get approval first before taking unusual action outside established procedure or practice.
- Don't bypass or go around your boss, except in an extremely unusual situation (such as illegal activity, fraud, etc.)
- Don't expect perfection.
- Live with the fact that you're probably better at some things or in some respects than your boss.
- Talk to your boss sooner rather than later when you have an employee with behavior or performance problems.
- Try not to take your boss' behavior personally

Collaboratively Working with Others

You also need to work collaboratively with your staff, who may know more than you do about many things. You must represent management to employees, but must also speak up for your employees to management when it's needed.

Working collaboratively with other supervisors and departments is essential to your success and the success of your program or project. Responding in a timely way to their requests, seeking their advice before acting when you're unsure in an area of their expertise and responsibility, and providing support to them when needed, are examples of creating an atmosphere of teamwork and trust.

Our success together is a well-run housing authority-a good place to work for everyone, offering quality programs to eligible families.

Internal Collaborative Relationships

Besides collaboration with your supervisor and those you supervise, there will be a number of entities within your agency that you will work collaboratively with. Those include:

Human Resources

Human resources management includes a variety of activities:

- Ensuring high performing personnel
- Ensuring equal opportunity within the organization
- Managing and responding to risks within the organization
- Developing and maintaining effective records management

As a supervisor, you may be very involved with the HR expert. You, in collaboration with your boss and HR, may share the following activities:

- Determining staffing needs based on the activities, goals, and strategies of the program or agency
- Recruiting, testing, selecting and conducting pre-employment activities for all positions
- Determining the role of independent contractors, volunteers, interns, and temporary staff
- Orienting and training employees, contractors, volunteers, and interns by providing training directly, training soft skills, facilitating on-the-job training, or identifying and contracting with training experts
- Establishing and maintaining job analyses, job descriptions and specifications, competencies, performance standards, and performance evaluation methods

In addition, the human resources department, often in conjunction with legal counsel, assists the supervisor in making certain that all individuals and groups are afforded an equal opportunity with the organization.

Give an example of a situation in which you collaborated with HR. Was it a successful collaboration? Why or why not?

Risk Management

You may also work with HR or another department collaboratively about risk management issues, including:

- Managing insurance coverage for property casualty, vehicle, general liability, and errors and omissions
- Identifying risks and exposures
- Property claims, coordinating investigations, and litigation of cases usually with outside legal counsel
- Advising the safety officer, maintenance staff, and others on employee training needs to minimize exposure to risk
- Developing an annual risk management plan to identify risks and exposures, and delineate proactive preventative and control activities

Information Systems

The IT department plans and manages effective information technology services. You may be called upon to work collaboratively with this department on some or all of the following activities:

- Understanding advancements in information systems and computing technologies, and coordinating how IT provides technical information, guidance, and support to your staff
- Conferring with other managers and employees regarding current and anticipated information systems requirements
- User support for PCs, including help desk support, training and troubleshooting
- Coordinating the training of staff in a new phone system operation

Finance

You will work with the finance department to ensure fiscal integrity and accurate, timely financial reports for your program, project, or agency. Your collaborative activities with the financial department may include:

- Establishing internal controls and reporting systems for financial transactions
- Analyzing financial statements for your project, program, or agency
- Preparing budgets and analyzing expenditure proposals
- Managing accounts payable and receivable functions, especially for public housing projects
- Ensuring control procedures and accounting standards are met

504 Coordinator

If your housing agency has at least 15 employees, the appointment of a 504 coordinator is required. Depending on the size of your housing authority, the 504 coordinator may have other roles. For example, in a small agency, the executive director may be designated as the 504 coordinator.

Supervisors, managers, and directors must work closely with the 504 coordinator to fulfill the obligation to affirmatively further fair housing. Following are the essential duties of the 504 coordinator—and you play an essential role:

- Notification of applicants for employment, employees, applicants for housing programs, and participants and tenants with disabilities of their right to request reasonable accommodations to ensure equal opportunity.
- The 504 coordinator may involve you in all reviews for requests for reasonable accommodation, requests for which additional information is requested, a request which requires a meeting with the person, or any denial of a request for an accommodation.
- The 504 coordinator may call on you for reporting on the requests you receive, how you've responded to any fair housing complaint, and/or to be present at grievance hearings. You may also be called on to train your staff or to assist in training.

Resource Development

As housing authorities become more entrepreneurial, they'll start to seek new funds and innovative programs and partnerships. You may work with grant writers or analysts in the following ways:

- Identifying and pursuing grant or foundation funds to provide direct services to residents and evaluate current services
- Changing or adding activities that attract additional funding sources or bring in a stream of income (i.e., cell towers on a roof)

Procurement and Contracting

In public housing, you may be procuring goods and services for your project. You may also work with centralized procurement staff in the following activities:

- Preparing invitations to bid, distributing notifications to vendors, and conducting pre-bid conferences; coordinating bid openings and evaluation, including development of evaluation criteria; performing price/cost analyses; summarizing bid responses and documentation; and selecting, recommending or participating in the selection of contractors and vendors
- Monitoring work to ensure that the contractor is in compliance with contract provisions
- Maintaining contract records and tracking expenditures against contract limits

External Collaborative Relationships

Participant and Resident Families

You, as a manager, are responsible for establishing the tone of the relationship between the housing authority and the applicants and families you serve.

By exhibiting and demanding quality service for families, you strengthen the program. Fairness and respect are inherent in the integrity of your service.

Community-Based Agencies

Working collaboratively with community advocates to ensure fair housing and equal opportunity, and working with legal advocates to ensure compliance with fair interpretation and application of law are just two examples of "working with the people who do the work" in your community. Partnering with youth groups, job training agencies, educational and vocational programs, counseling and other self-sufficiency resources will take a burden off you. Let the experts do what they do best, and it will bridge your families into high-quality services.

The Judicial System

Your housing agency may have legal counsel on staff or may retain a landlord/tenant attorney to process evictions. In any case, you may be working with legal counsel when an eviction or termination case goes to hearing or court. You may need to be a resource in helping educate legal counsel and the judge on the mandates of your program.

HUD

You may be called upon to provide information to or work with someone from your HUD field office, FHEO, or other HUD official as they audit, do reviews, or gather information. Working collaboratively requires knowing what is expected of you, and meeting expectations in an open, professional, and courteous manner.

Learning Activity 2-2: Collaborative Relationships

Choose one of the internal or external collaborative relationships listed above and fill out the following information.

Strengths in relationship with: ______________________ (enter entity's name)

Weaknesses in relationship with: ______________________

What have you learned/are you learning in this internal or external collaborative relationship?

Solutions to weaknesses/problems in the collaboration:

SECTION 5 WORKPLACE POLITICS

Introduction

Here it is: office politics exist. Workplace politics are a part of human nature.

The truth is, people and teams don't usually struggle and fail because of a lack of technical skills. Most people know how to do their jobs reasonably well, and agencies usually train their employees in job skills, regulations, tools, and techniques.

People and teams commonly struggle and fail because they don't (or won't) understand the skills of interpersonal politics: communication, understanding, negotiation, and leadership.

Office politics have a bad reputation. Employees sometimes feel as if they're fighting a battle between their values and integrity versus their desire for a successful career and getting the job done. When the choice lies between "playing the game" or remaining true to your sense of self, the battle won't end well.

Just because you "hate" politics doesn't mean they don't exist in the work place. There is an option that exists in harmony with your integrity and your success.

What Do We Mean by Politics?

Politics are part of every human interaction. With your family, friends, and partner—yes, even in your closest relationships—politics are happening. And they're happening at work.

Politics are inherent in human interaction. So why are they such a problem in the office, and mostly unnoticeable outside the office? Very simply:

- In the work place, groups of people, who otherwise might not care to associate with each other, are together for more hours than with their families during the week. In your personal life, you can walk away from situations where the people involved don't share your values. Your best friends are not those whose approach to life is completely different than yours.
- There's a great deal more at stake when people's jobs are at stake. You and maybe a spouse and children depend on the income your job brings.
- In the office, you don't have the option of walking away. Whether you like someone or not, you still have to work together.
- It's much "safer" to be annoyed with or judge people at work than it is to risk our close personal relationships.

Getting Good at Office Politics

Some people aren't good at office politics for three reasons:

- They are inexperienced in office politics.
- They deny it exists or believe it's unnatural.
- They reject all office politics because some people play dirty.

It's very important to promote yourself, let people know the great job you are doing, and get necessary support for the goals of your team in the organization.

So work with office politics **ethically, professionally, and in a way that is natural for you**. Realize that you can be politically correct in a professional, ethical and natural way. Learn the "how to" and then practice the following:

For Yourself

Keep it professional at all times.

Cultivate a positive, simple, accurate image.

Be assertive and tough when required, not aggressive.

Force yourself to do difficult or uncomfortable but necessary things.

Develop your own style.

Don't whine and complain.

Don't discuss personal problems.

Selectively self-disclose.

Don't assume anything will stay secret.

For Your Colleagues

Help others get what they want.

Establish affiliations of mutual advantage with important people.

Find common ground with others.

Create win/win solutions.

Don't make enemies. Don't burn bridges.

Don't intentionally make others look bad.

For the Organization

Keep employer's perspective in mind.

Couch criticism in terms of employer's interests.

Avoid going over your superior's head.

Don't intimidate superiors.

Don't criticize employees or bosses.

Shifting Our Way of Thinking

Being politically savvy in the work place is often just a matter of changing one's point of view. Below are four key concepts or tools to help you create new habits of interaction and thought within the political workplace. Try using these tools as you go about your daily work.

Beware of Arguing with Reality

You're probably thinking, "I don't argue with reality – that's silly."

But how often do you say or think something like any the following?

- Joe should do his job.
- I shouldn't have to promote myself and my work.
- Why doesn't senior management see that Sue doesn't have what it takes?
- What's wrong with Don – he's not focusing on the right results!
- It shouldn't rain when I'm on vacation.

Each of those statements argues with reality.

- The reality is that Joe isn't doing his job.
- In the real world, you do have to sometimes make sure that what you do is noticed.
- Senior management is just as capable of being an ostrich in a particular situation as anyone else.
- Don has any number of reasons why he's not paying attention to the "right" results, regardless of what you may think.
- The weather doesn't care whether you're on vacation.

Arguing with reality takes time and energy. How often have you won an argument with reality? In the ideal world, things would be ideal. But the reality is that people don't always do their jobs the way we think they should. The more you fight that fight, the more worn out you'll get. Accept reality, and work on the things that are in your control, such as your own work and results.

As an ancient philosopher, Epictetus, once said, "Do not seek that things are as you wish, but wish for them as they are, and you will find them."

Expect to be Surprised

This opens up the box we're all supposed to be thinking outside of! The box is constructed of your expectations of what someone will say, do, or think, or about how a particular event will unfold.

The fact is, you don't know what will happen. When you anticipate and expect, you're telling yourself stories. Then when the event begins to take place, whether it's a talk with your boss or with your teenager, the stories you told yourself guide how you act and what you say. And the stories are usually based on our worries or negative emotions. Then you'll find yourself muttering, "I knew it!" as things play out badly.

Setting an intention to be surprised clears the way for anything to happen. It sets your focus on how you want to approach the situation, but it doesn't create expectations about others' behavior. It's an attitude and an intention. Intentions are successful because they change how you behave.

So it's actually simpler and easier for you (and others) not to have expectations about other people's behavior. Instead, there's emphasis on curiosity, a sense of exploration, and not-knowing. Because, after all, we don't know—so why pretend that we do?

Needless to say, risk management and planning are essential, especially when stakes are high, and those topics will be covered later in this seminar. Those actions are data-driven, with the potentialities considered and weighed.

Look Beyond the Fear

Whenever anyone (including you) is acting out of character, resisting what's going on, or showing signs of anger or frustration, that person is almost certainly afraid of something, even though he probably doesn't realize it and might not admit it.

The truth is, fear is a very common reaction to what is unknown or challenging. Look at your own fear, and it will help you look compassionately at others' fear. You can't look beyond the fear unless you first are willing to see it for what it is. A person who is afraid is calling for help. Mike is afraid of losing his job. You're afraid that someone won't like you. Sally is afraid that she won't be successful at this new project. If you can look at the fear, the discoveries will help you get things done in an improved way.

Truths and Truth

Your truth may be quite different than your manager's or colleague's, even when you both think you're talking about the same thing.

You and your boss may both be looking at a Monday due date for your program reports. His truth may be that the executive director is breathing down his neck for this report, and he sees no option but weekend work to get it done. Your truth may be that your church, synagogue, or mosque is having a big potluck and an extended event this weekend. How can you address your needs as well as those of your boss?

The common truth is that the report needs to be finished. By understanding your boss' truth as well as yours, you're in a position to do more than "either/or". Instead, you can first respond to his truth (and his fear) by expressing your understanding of his sense of urgency. And then you can suggest alternatives that will satisfy both his need to get the report finished, and your need to be at your faith-based events.

Bottom Line

It's not always easy— Frank remains difficult to work with, for everyone in the agency. Linda really isn't capable of doing her job at the level required. Ned blames you, his supervisor, for his lack of success in his latest project. But instead of thinking, "He or she shouldn't be like this!" or thinking someone else is just plain wrong and you're just plain right, you can put in practice another way of accepting and understanding workplace politics.

Gossip in the Workplace

Gossip may seem like a harmless, unavoidable part of work life, but don't be fooled: Left unchecked, gossip can wreak havoc on agency morale and productivity. First of all, what is gossip? We're referring here to talk between coworkers, managers, and executives about work-related matters to someone who can't do anything about it. Gossip is the primary mechanism for communicating and spreading negativity.

Rumors and complaints impact the workplace in the following ways:

- Gossip results in missed communications that often result in misunderstandings that quickly lead to conflict. Gossip is the death of teamwork as the group breaks into "cliques" and employees start refusing to work with others.
- Gossip beaks down the trust level within the group, which results in employees second-guessing each other.
- Gossip results in you, the supervisor, spending an enormous amount of time trying to figure out who said what to whom. Or worse, yet, you struggle to explain to your boss that the ongoing conflicts and communication problems within your group are the reason work doesn't get done—only to hear your boss comment, "Why can't you manage your team better?"
- Gossip is sometimes so severe that good employees, who dislike gossip, can feel bullied or excluded, and may leave the work group.

The irony about workplace gossip is that it's often about things that really matter to the company or team, and should be addressed. "Are there going to be layoffs?" "I heard they're looking outside the agency for the new boss."

So how does an agency put a zero-tolerance ban on gossip policy into effect? First, the leader has to be on board. The policy should be clear verbally and in writing: "No more gossip." Each supervisor and manager has to communicate that office gossip won't be tolerated, why this is necessary, and that everyone is going to be held accountable.

Committed leaders and managers realize the toxic effect gossip has on themselves, their colleagues, and the agency as a whole. When they stop, it means that the team has taken on being forthright and honesty in its communication. Part of what distinguishes a leader is the willingness to have important, and often difficult, conversations.

Employers are within their rights to limit gossip. Managing gossip doesn't mean it will entirely disappear, but it can be contained so the impact on work is diminished.

Following is an example HR policy:

- **Workplace Expectations**: Do not participate in spreading gossip and rumors, and do not tolerate it from others. Rumor and gossip sabotages the team's ability to work together effectively. It is disrespectful, nonproductive, and an immature habit that impedes employees from performing their jobs. If you hear about an issue that pertains directly to you, verify the accuracy of the information by asking the supervisor or colleague involved, rather than simply passing along what might be misinformation.

Chapter 2 - My Career Map

List here any topic we discussed in this chapter you may need or want to think about. We return to this information again and again as you move this course.

Topics for Me to Explore	Situation	What I Will Do	Date
My Supervisory Skills			
My Sense of Mission and Vision			
PHA Policies—Where I Need to Gain Knowledge			
PHA Policies—My Involvement			
Procedures - Who Does What, When, Hows			
Working Collaboratively			
Workplace Politics			

SECTION 6 CHAPTER 2 POST TEST

1. In order to be an effective supervisor or manager, an analysis of the agency's available resources and strategic goals are more important than the agency's vision and mission.
   a. True
   b. False

2. The basic organizational structure of all housing authorities consists of:
   a. Executive director, senior managers, middle managers, and frontline supervisors
   b. The board, executive director, and staff
   c. The board and the housing authority managers
   d. Executive director, executive vice president, program director, program manager, and supervisors
   e. None of the above

3. HUD provides directives and guidelines for:
   a. PHA personnel policies
   b. PHA housing programs
   c. PHA supervision and management
   d. Staff competencies for various positions

4. Which of the laws below apply to human resources and supervision?
   a. Federal law
   b. State law
   c. Local law
   d. All of the above

5. If employees' behaviors do not conform to the human resources policies of an agency, and there is a legal workplace challenge, policies generally will be seen as superseding accepted behavior.
   a. True
   b. False

6. The role of the board is to manage the operations of the housing authority.
   a. True
   b. False

7. Some of the important areas of collaboration within the PHA include human resources, risk management and insurance, information systems, finance, and procurement and contracting.
   a. True
   b. False

SECTION 7 CONTINUED LEARNING

LEARNING ACTIVITY 2-3: Mission and Vision Statements for You as a Supervisor

Write your own mission statement and vision statement for yourself as a supervisor. Remember: A mission statement should tell what you wish to accomplish, while a vision statement is your end result if you successfully fulfill your mission.

Mission Statement

Vision Statement

CHAPTER 3 Supervisory Competencies

Learning Outcomes

Define *competencies* and recognize the benefits of identifying and gaining competencies.

Describe the knowledge, skills, and abilities needed for successful supervision and management.

Apply the principles and steps in effective management and decision-making.

Identify professional standards in nonverbal, verbal and listening, and written communication.

Practice giving feedback and coaching.

Distinguish the essential elements of managing effective meetings.

Evaluate supervisory styles through discussion and self-assessment.

Overview

Part of becoming successful as a supervisor is identifying the skills and competencies needed to learn and develop within the role—whether you're a frontline supervisor or an executive manager. There will be some self-reflection and self-assessment here. Here is where you take a look at your strengths and weaknesses, and how you can develop and grow.

Learning about your own competencies and assessing them will help you understand and assess competencies of those you supervise.

SECTION 1 COMPETENCIES DEFINED

Simply put, competencies are ***knowledge***, ***skills***, and ***abilities***.

Knowledge is what you ***know***.

Skills are what you can ***do***.

Abilities are knowing ***when*** and ***how*** to apply your ***skills***.

Job ***competence*** is someone's capacity to do a job by producing quality results within a timeline regardless of the circumstances in the organization.

Let's look at some examples of competencies: knowledge, skills, and abilities.

- Some examples of your ***knowledge*** might be formal education, knowledge of HUD regulations, PHA policies and procedures, and knowledge gained in a seminar.
- Examples of your ***skills*** could include interpersonal communication, reading for understanding, written communication skills, and math skills.
- ***Abilities*** could include using your communication to effectively run a meeting. Another example is using your math skills, knowledge of HUD regulations and PHA policies to conduct an annual reexamination.

Your ***competency*** as a supervisory uses your knowledge, skills, and abilities to run an effective program, manage a project, or oversee the agency to achieve agreed-upon outcomes.

- A job competency is the underlying characteristic of an employee that results in effective or superior performance. Competencies are the characteristics within a person that "enable" job performance.

Competencies may be hindered by a job environment, but a competent employee is expected to produce WHILE coping with the circumstances in the organization.

Notes

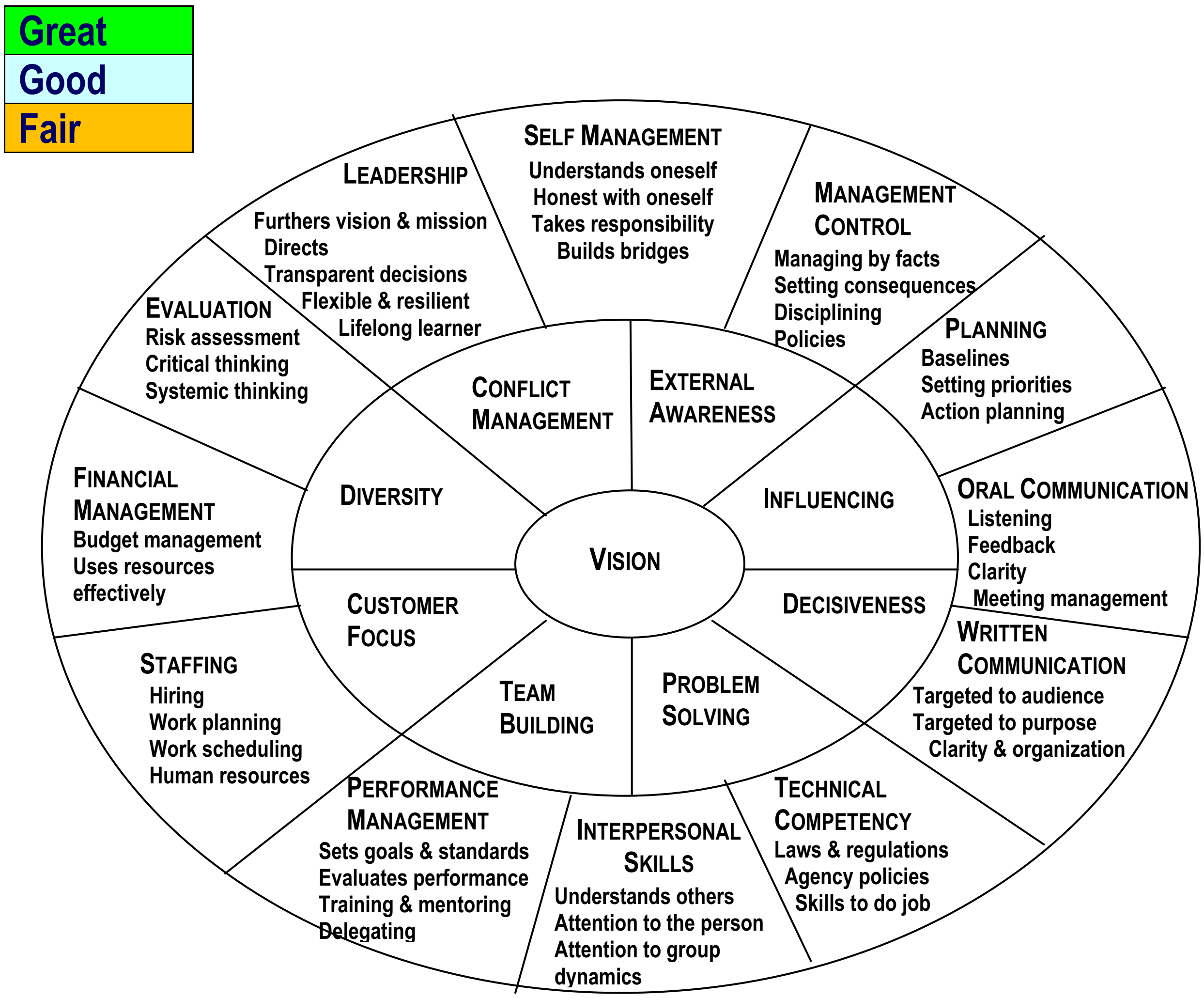
Using and Gaining Competencies

Some competencies are crucial or critical for job success; in other words, you may evaluate your role as a supervisor and determine that it's essential to have excellent communication skills or knowledge of PHA policies.

Other competencies may be important but not core to the job role. For example, if you work in the finance department it may be important to have good speaking skills, but they would not be as critical as your ability to apply math skills and balance a budget.

Competencies can be innate but they can be learned as well. Degrees, certifications, training, on-the-job learning, continuing education, new challenging work projects and collaboration are just some of the ways a person could develop new competencies.

Supervisor Competencies



SECTION 2 INTRAPERSONAL AND INTERPERSONAL COMPETENCIES

Intrapersonal Competencies

Intrapersonal competence is the intelligence of the inner self, or the cognitive ability and the willingness to honestly look within at one's feelings and thoughts. This competence is sometimes referred to as "Emotional Quotient," or "EQ."

A person who is intrapersonally competent is aware of their own feelings, can discriminate between many different kinds of inner emotional states, and can use their self-understanding to enrich and guide their way through life. This competence contributes to managing oneself. Being at ease with oneself allows the director to navigate with a sense of being and strength of character.

Some characteristics of a person with high intrapersonal competence include conscience, self-esteem, empathy, self-control, and humility.

Interpersonal Competencies

Interpersonal competence is the ability to interact with others, understand them, and interpret their behavior. Interpersonal communication is the process of face-to-face exchange of thoughts, ideas, feelings and emotions between two or more people. It requires a capacity to perceive and be responsive to the moods, temperaments, and motivations of others. A good manager is someone who is at ease in diverse situations and diverse groups; they are open-minded and fair to all.

Using these Competencies

Interpersonal and intrapersonal competence empowers the director to lead and influence others by setting direction through decision-making, planning and problem-solving.

Learning Activity 3-1: Intrapersonal Self-Questionnaire

This questionnaire invites you to explore your thoughts and feelings when you answer these questions. Answer as honestly as you can.

1. I do not become defensive when criticized.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
❒	❒	❒	❒	❒

2. I can stay calm under pressure.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
❒	❒	❒	❒	❒

3. I manage anxiety, stress, anger, and fear in pursuit of a goal.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
❒	❒	❒	❒	❒

4. I usually maintain a sense of humor.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
❒	❒	❒	❒	❒

5. I recognize how my behavior affects others.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
❒	❒	❒	❒	❒

6. I air grievances skillfully.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
❒	❒	❒	❒	❒

7. I can freely admit to making a mistake.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
❒	❒	❒	❒	❒

Do you want to list any of these on your Career Map?

Learning Activity 3-2: Interpersonal Intelligence – Breakout Groups

Pick one of the three topics below. Everyone in the group will take a turn—two minutes maximum. Don't share anything you're not comfortable sharing.

1. Share something about yourself that is not commonly known. Again, only what you're comfortable with.

2. Share an experience getting to know a person or new group that changed your thinking, or helped you see things differently.

3. Share a new experience that you believe made you a braver person.

SECTION 3 COMMUNICATION COMPETENCIES

Introduction

Your competencies in communication are fundamental to management, because these competencies run through every function and are inherent in acquiring and applying other competencies.

Communication is the lifeblood of an organization. Mutual understanding is the thread that connects everyone in the workplace. Highly competent agencies have open communication channels-from the top down and bottom up (vertically) and across departments and functions (horizontally) and into the community.

We communicate one-on-one and to groups, nonverbally, in writing, and to various audiences: applicants, participant families, the public, government officials, community partners, and our internal colleagues.

Influencing others in groups is accomplished by articulating a shared mission and vision, communication, meeting management, conflict management, valuing diversity and diverse viewpoints, and project management. Leaders influence individuals through building trust, listening, coaching, mentoring, delegating, and motivating.

Professional Standards in Communication

The following guidelines are basic but are the critical fundamentals for ensuring strong, ongoing, internal communications.

- Every employee reviews the organization's strategic plan as well as the current annual plan.
- Every employee gets an employee manual which includes their job description and performance standards.
- Regularly (monthly or quarterly, for example), the executive director conducts organization-wide meetings to provide clarity, focus, and morale.
- Each manager and supervisor conducts weekly or bimonthly meetings with all of their employees together.
- In public housing, the supervisor reviews the performance of the project monthly. The asset manager reviews project performance monthly with every property manager.
- Employees write a one-page weekly status report to their supervisor that includes tasks completed for the week, the next week's tasks and goals, current highlights, trends, and issues.
- Each supervisor conducts one-on-one, monthly meetings with each employee.

Communication Tools

People have been trying to perfect communication skills for eons. New supervisors can increase their supervisory effectiveness more by improving their communication skills than by any other activity.

Let's review some of the various types of communication tools in the nonverbal, verbal, and written contexts.

Nonverbal Communication Tools

Body Language

You can use nonverbal behaviors to make sure your messages are received in the way you intend. Some common body language includes:

- **Eye contact.** Eye contact helps the flow of communication. In many cultures, it signals interest in others and increases a speaker's credibility. People who make eye contact convey interest, concern, warmth, and credibility. Be aware of your audience and their many cultural rules for eye contact and use this powerful nonverbal skill appropriately for the situation.
- **Facial expressions.** It is a relatively common notion that if you smile frequently you will be perceived as more likable, friendly, warm, and approachable. Again, know the customs of the group and respond within those customs, if you’re comfortable doing so.
- **Gestures.** Gestures indicate a lively speaking style that captures the listener’s attention, makes the conversation more interesting, and facilitates understanding.
- **Posture and body orientation.** We communicate numerous messages by the way we talk and move. Open body posture communicates to listeners that you are approachable, receptive, and friendly. Modeling body gestures of the person with whom you're communicating can build rapport. In many cultures, trust results when the speaker and the listener face each other. On the other hand, speaking with our backs turned or looking at the floor or ceiling communicates disinterest.
- **Proximity.** Cultural norms dictate a comfortable distance for interaction with others. Look for signals of discomfort caused by invading the other person's space. Some of these signals are rocking, leg swinging, tapping, and gaze aversion.
- **Vocalizing.** Speaking can signal nonverbal communication when you include vocal elements such as tone, pitch, rhythm, timbre, loudness, and inflection. Learn to vary these six elements of your voice—one of the major criticisms of many speakers is that they are monotone.

Listening

Effective communication only happens if the listener understands the idea the speaker or communicator intends.

Many people incorrectly assume that communication has happened when a person stops talking or a letter is sent. Many leaders think they have successfully communicated once they have told someone to do something.

- For example, "I don't know why it did not get done...I told Jim to do it." Jim may have misunderstood the message.

A message has **not** been communicated unless the receiver understands it.

Listening is a skill. It's hard work, but it is one of the most important skills of any supervisor. Some basic listening techniques in terms of nonverbal communication include:

- Facing the speaker and being sure you can hear him or her
- Maintaining eye contact
- Sending nonverbal signals (body language)
- Waiting to speak
- Thinking about what you are going to say next
- Not interrupting.
- Listening for central ideas, not facts.
- Listening 75 percent of the time; speaking 25 percent of the time.

Effective listening is an active, not passive, activity.

LEARNING ACTIVITY 3-3: Listening Self-Assessment

Consider, as you are reading these qualities, whether you could be a more effective listener.

Poor Listener ⟵	⟶ Effective Listener
You're not comfortable with silence (who is?). You usually fill in quiet moments with speaking or asking more questions.	You accept and allow some comfortable silence. You've learning not to insert sound until it's helpful.
You tend to "daydream" with a low speaker.	You think and mentally summarize and weigh what is being said.
It's important to get to the bottom line right away.	You listen between the lines to tones of voice and meaning.
You're distracted easily.	You notice your distractions, see past bad communication habits, and know how to come back to focus.
You are adamant about intensely taking notes and sometimes lose what the person is saying while you're writing.	You have a few different ways of note-taking to organize important information. You know when it's more important to put the pencil down.
You're a ball of fire! Sometimes you catch yourself interrupting and doing a lot of talking.	You've learned how important it is to not interrupt.
You don't usually listen to difficult material; usually you listen to music or light commentary.	You use "weightier" materials to regularly exercise your mind.
You don't put out energy when the conversation doesn't interest you.	You hold eye contact and help the speaker along by your gestures and body stance.
You judge delivery and tune out.	You evaluate content (meaning) and skip over delivery errors.
You tend to jump to conclusions.	You let the conversation develop and unfold and watch yourself when you tend to jump ahead.
You listen for facts or interesting points.	You listen for meaning and for central ideas.

Verbal Communications Tools

Speaking Skills

Having good speaking skills is a very important verbal communication tool. Be well informed and clear about what you say:

- Know the main point that you want to convey.
- State your point or conclusion, and then explain how you came to it.
- Convey one point at a time.
- Speak slowly, not too quickly.
- Don't complicate what you are saying with too much detail.

Remember, speaking and listening are equally important, so you'll want to involve listeners as much as possible. Try engaging your listeners by doing the following:

- Look at the listeners.
- Give listeners a chance to ask questions.
- Ask listeners if you have made yourself clear.
- Clarify if there are signs of confusion.

Supervisors make presentations to a wide variety of audiences: board members, staff, community leaders, and groups of clients. Much can be gained, or quickly lost, from a presentation.

Even a little training and practice goes a long way toward giving a highly effective presentation. Here are some guidelines:

- Be clear about who your audience is and why it is important for them to be at your presentation.
- Decide on the tone that you want to set for your presentation: hopefulness, celebration, warning, or teamwork.
- List and prioritize the top three goals that you want to accomplish with your audience.

Notes

Learning Activity 3-4: Topic Presentation

Instructions: Prepare a topic to present tomorrow. During the presentation, you will introduce the topic, provide three points of information with supporting data, and then have a summary of the topic. There is a guide for you to follow below.

You should also list major points of information about the goals that you want to convey to your audience. Place them in order and then list three pieces of data about each information point.

Presentation Goal: ______________________________

Introduction

#1 Information Point

Data

Data

Data

#2 Information Point

Data

Data

Data

#3 Information Point

Data

Data

Data

Summary

When you're done making that list, ask yourself, "If everyone in the audience understands all of these points, then will I have achieved the goals that I set for this presentation?"

There are several structural factors to consider in designing your presentation. First, design a brief opening (about 5 to 10 percent of your total presentation time) that both presents your goals for the presentation and clarifies the benefits of the presentation to the audience.

Also, prepare the body of your presentation using the informational points and data from above (about 70 to 80 percent of your presentation time), and design a brief closing (about 5 to 10 percent of your presentation time) that summarizes the key points from your presentation.

Consider including time for questions and answers (up to 10 percent of your presentation time) and preparing materials for presentation, including handouts, items for demonstration, and audio/visual aids.

Here are some tips for your presentation delivery:

- Look up from your materials or notes every 5 to 10 seconds to look into the audience.
- Speak a little bit louder and a little bit slower than you normally would when speaking with a friend.
- Vary the volume and rate of your speech.
- Stand with your feet shoulder-width apart.
- Keep your hands relatively still when not using gestures.

If making presentations and public speaking cause you anxiety, consider joining Toastmasters or taking a class on public speaking. Like any other skill, practice is what builds confidence.

Active Listening

Active listening, or confirming your understanding of the speaker's message, clarifies the meaning of a message for both the speaker and the listener. Active listening results in accurate communication, where the listener understands the message in exactly the manner intended by the speaker.

We touched upon effective listening from the nonverbal perspective. Let's examine it now in the verbal communication context.

An example of active listening is paraphrasing the words of the speaker, which is restating the speaker's feelings or ideas about the situation or topic in the listener's own words.

For example:

> **Speaker:** "Uh oh, the new software class is Tuesday? I'm not sure I'll be ready."
>
> **Listener:** "Sounds like you're a little anxious about learning the new software?"

The Art of Questioning

Active listening helps to make sure both the speaker and the listener understood the same message, and questioning allows the listener to get additional information. Skilled communicators make very effective use of well placed questions.

Open and Closed Questions

There are two types of questions: open-ended and closed. Open-ended questions and statements are used by an active listener to foster communication, give the speaker the lead, and provide a free arena for the speaker to elaborate on his or her point.

Some examples include:

- "Tell me more about that!"
- "What happened then?"
- "Go on, tell me more!"

On the other hand, closed questions are used to get specific, often brief pieces of the information the listener needs for understanding, such as:

- "How many times did that happen?"
- "What's your new home address?"
- "Who was with you?"

The chart that follows summarizes how to ask beneficial questions using both open and closed questions and statements.

How To Ask Beneficial Questions

To gently find out what information and data the speaker is using, try saying:

- "What leads you to that conclusion?"
- "What causes you to say that?"
- "Can you help me understand your thinking here?" Instead of "What's your proof?"
- "What is the significance of that?"
- "How does this relate to your other concern?"
- "Can you describe a typical example?"
- "Am I correct that you're saying…?"
- "Tell me more about that."

Giving Instructions

Supervisors need to communicate an entire range of information, instructions, and directives to their staff, their team, and other members of the agency. Communicating these clearly and concisely is an important skill. Some techniques are particularly helpful in making yourself understood when giving instructions or directions. These include giving feedback, providing coaching, and effectively influencing others.

Giving Feedback

Feedback, when used as a communication tool in supervision, gives the employee a description of how the supervisor sees their work performance. It is often useful to help the employee:

- Understand their behavior
- Identify when it is present
- Clarify how it relates to the goals for the position and team
- Choose a behavior closer to the tasks or activities required in the position

Steps to Provide Feedback in a Difficult Conversation

Seek permission to provide the feedback. Start by stating you have some feedback you'd like to share. Ask if it's a good time or if the employee would prefer to select another time and place (within reason, of course.)

Use a soft entry. Don't dive right into the feedback—give the person a chance to brace for potentially embarrassing feedback. Tell the employee that you need to provide feedback that is difficult to share. If you're uncomfortable with your role in the conversation, you might say that, too. Most people are as uncomfortable providing feedback as the person receiving the feedback.

Often, you are in the feedback role because other employees have complained to you. Do not give in to the temptation to amplify the feedback, or excuse your responsibility for the feedback by stating that a number of coworkers have complained. This heightens the embarrassment and harms the recovery of the person receiving feedback.

The best feedback is straightforward and simple. Don't beat around the bush. "I am talking with you because this is an issue that you need to address for success in this agency."

Tell the person the impact that changing his or her behavior will have from a positive perspective. Tell the employee how choosing to do nothing will affect his or her career and job.

Reach agreement about what the individual will do to change his or her behavior. Set a due date – tomorrow, in some cases. Set a time frame to review progress in others.

Follow up. The fact that the problem exists means that backsliding is possible; further clarification may also be necessary.

You can become effective at holding difficult conversations. Practicing these steps will help build your comfort level to hold difficult conversations. After all, a difficult conversation can make the difference between success and failure for a valued employee. Care enough to hold the difficult conversation.

Tips to Keep in Mind While Providing Feedback

Be clear about what you want to say.

Be specific and brief.

Be descriptive rather than evaluative. “Let’s go over these errors” is much more helpful than, “Why did you make so many errors?”

Talk about the behaviors relating to the team and agency goals; the person’s self and personality should not be attacked. Refer only to behavior that can be changed.

Take responsibility by using “I” statements – own the feedback. “I’m upset that you didn’t get this report done on time,” is an example. “You made me mad!” is an example of what not to do. Again, take responsibility for the feedback you give.

LEARNING ACTIVITY 3-5: Sandwiched Feedback

One effective method of giving supervisory feedback is the "stroke-bang-stroke" method, or sandwiched feedback. Using this method, the supervisor first describes a positive part of the employee's work, goes on to say what the supervisor would like to see improved, and then closes with another example of something positive.

For example: In the following scenarios, write what you, as the supervisor, would say to coach, offer encouragement, and give feedback to the employee. Write only one sentence or very brief responses to each situation.

1. Susie has been a leader on your team for years. She knows her job and shares information and resources with other members of the staff. In the past, she has always had a terrific attitude. Lately, she has been quiet and withdrawn-sometimes even cranky. Other team members need information that only Susie has or knows. It's starting to affect the performance of the group. You say...

2. Rudy is a steady force for the inspector group-technically strong and a great mechanic! He doesn't like paperwork at all, and the new data collection forms are a real problem for him. Your boss has asked you to improve the situation. You say...

3. Your lead occupancy staff person transferred to another unit, and his replacement is new to this type of work. While it is clear he is putting in a lot of effort, you are having a really hard time understanding his verbal reports and file documentation. You've thought it over and want to ask him to be more specific in both his verbal and written work. You say...

4. Angela is always on time for work, stays until everything is done each day, and is the first one to turn in her leasing reports each month. However, at lunchtime, she takes whatever time she needs to finish all of her personal errands. For some time, team members have complained to you. You say...

Coaching

Coaching refers to the ongoing communication from supervisor to supervisee that is designed to teach or shape the employee's performance. Coaching is probably the most common form of communication between staff and supervisor.

Good supervisors use different coaching techniques based on the learning level of their employees. Learners or employees may be beginners, longer term learners, or experts. The effective coaching style for each is different.

Avid Beginner

The new learner is enthusiastic to learn a new skill and may be somewhat apprehensive.

New learners need coaching with clear instructions, lots of feedback, and some emotional support to calm the stress of learning something new.

Disillusioned Beginner

At the next level of learning, the amount of technical support needed from the coach is less, so the learner can experiment with the task.

At this level, learners have failed a few times and emotional support from the coach must increase to help keep their confidence high.

> The emotional feedback needs to be specific, such as:
>
> "You did an excellent job with the widget assembly, now you need to connect them together."
>
> **Not**
>
> "You are doing okay. Keep trying."

Reluctant Learner

Now the employee is capable of performing, but still needs to build skills and grow abilities. The amount of technical guidance from the coach drops to just a few pointers so that he can perfect new skills.

The learner is still not totally confident! The amount of emotional support from the coach must stay high to ensure a confident employee.

Expert

Learning is complete when little or no direction or support is required to accomplish a quality performance. At this level, the learner takes ownership and responsibility for her new task.

These employees should be allowed to perform and encouraged to take on new responsibilities and new assignments. As new tasks are assigned, this employee becomes a new learner and the coaching cycle begins again.

Giving Direction

The "Employee-Centered" No

- It is possible to tell an employee "no" and still allow them to walk away feeling heard, understood, and supported. That way is the "Employee-Centered No"
  - Giving employees a plain no doesn't work
  - It doesn't work to try to make a no sound like a yes.
- Learn how to use the "Employee-Centered" no in situations when no is the only answer. The technique uses two phrases:
  - One that begins and ends with a "yes!" In between, there is a recommended set of actions that the supervisor will do and that the employee can do. For example:
    - The first phrase is "What I will do is…" This phrase tells employees that the supervisor wants to help and the specific actions they will take to get the situation resolved. The alternative actions offered may not be exactly what the employee wants but will usually help create an acceptable resolution and reduce the feelings of frustration.
    - The second phrase is "And, what you can do is…" This phrase tells employees that they have some control over the outcome of the situation and that the supervisor considers them a partner in getting the situation resolved, even if it's not resolvable.

- Suggested alternatives may involve recommendations for a temporary fix, or actions that the employee can take in the future to prevent a recurrence.

Winning Cooperation

New supervisors sometimes need to persuade others that their position is the best point of view. In these situations it is to our advantage to be as persuasive as possible. Below are some suggestions.

- Know your audience
- Increase your credibility
- Emphasize similarity to listeners
- Be right and be liked
- Make an emotional and logical argument
- Listen to opposing views
- End with agreement

How To Support Your Point Of View

State your assumptions, and describe the data that led to them:

- Explain your assumptions
- Make your reasoning clear
- Give examples of what you propose, even if they are hypothetical
- As you speak, try to picture the other person's perspectives on what you are saying
- Publicly test your conclusions and assumptions

What to say:

- Here's what I think and here's how I got there
- I assumed that…
- I came to this conclusion because…
- If I enter a classroom this is what I might see…
- What do you think about what I just said?

Written Communication Skills

Organizational writing has little to do with writing techniques and rules you learned in school. The reasons for writing are different, the audience has different needs, and the rewards are greater.

In an organization, we write for very distinct and restricted purposes, which are best achieved through simplicity. We must include only the significant information and must support it with only the minimum data necessary.

Writing A Document

As you begin to write, you could use a method called "PASDER":

- Establish the purpose.
- Consider the audience.
- Devise the structure.
- Then draft, edit, and revise the text.

Let's analyze each of these steps.

Purpose

Every document must have a single goal, a specific reason for being written. If you can't think of one, don't write the document.

Audience

- Every document tells somebody something. Decide how best to tell your audience about your goal. Remember, leave out what the audience already knows, and include what the audience needs to know.

For example, in a proposal:

> **The marketing department** will want to see the service and product differences and how they appeal to the customer.
>
> **The finance department** will be interested in projected costs, profit margins, and risk analysis.
>
> **The human resources department** will be concerned with the number of staff needed and the nature of the work involved.

Structure

The power of writing comes in its permanence. Communicating about important matters with order and clarity can usually only be done adequately in writing. In a document of any length, information must be provided in small, manageable, reusable chunks.

- Break down the document into distinct sections, which can be written and read separately.
- A paragraph should convey a single idea. There should be a statement of that key idea and more information, evidence supporting the idea, or illustrations or examples of the idea. You can also use diagrams or visuals.

Draft, Revise, and Edit

When you have decided what to say, to whom you're saying it, and how to structure it, you must check it for clarity and effectiveness. The time spent doing this will be far less than the time wasted by other people struggling with the document. Here are a few points to consider as you edit:

- Make the reader's eye jump straight to the main points on the page.
- Keep words simple.
- Avoid long sentences.
- Avoid jargon.
- Find someone you trust to be your editor, especially for important documents. There may be someone on your team or in your agency who majored in English or has editing skills. Don't send anything out in writing unless you know the grammar and spelling are perfect.
- Draft, read it again and revise it.
- Develop a meaningful conclusion.

Essential and Effective E-Mail

Every organization now uses e-mail as a standard in communication and record keeping. E-mail in business has a standard that is quite different than personal e-mail. This "e-mail etiquette" is essential, and effective supervisors demonstrate their knowledge of "e-mail standards."

E-mail is a type of written communication. Think carefully before you hit "Send." Once you send the e-mail, it's impossible to recall it once it's been opened by the party who received the e-mail.

Don't assume that because you deleted an e-mail (or even smashed up your computer), the e-mail has disappeared. Old e-mails have been subpoenaed by law enforcement agencies and courts as evidence.

Here are some suggestions for e-mail etiquette, followed by examples:

Use a good subject line:

- Important! Read Immediately!
- Tomorrow's Meeting—Please Review Agenda

Identify yourself clearly:

- This is Rachel with the Village Housing Authority.

Decide if this e-mail is formal. If it is:

- Save smiley faces (:)) and other emoticons and abbreviations (bbl) for friends.
- Avoid fancy and distracting backgrounds.
- Keep text size and font type simple.

Keep the message focused:

- Provide the who, what, when, where, why, and how in as few words as possible.
- If your message contains several different topics, you may need to send different e-mails to address them.

Keep emotions out of the e-mail:

- On the Internet and in e-mail, sending a hostile and insulting message is called "flaming," and is often an abusive personal attack.
- Don't use all caps—this can be construed as flaming.

Proofread:

- Set up the automatic spell checker for your e-mail program, if one is available.
- E-mails with several errors are generally not read or taken seriously.

Use few attachments:

- Only transmit attachments if they're necessary.

Check your inbox regularly and reply promptly:

- The best and the busiest professionals answer their e-mails on a daily basis.
- Don't try to resolve conflict through e-mail.

SECTION 4 CONTRIBUTING COMPETENCIES

Employees and employers tend to take for granted other competencies employees might need to do the job. As well as knowledge and skills, competencies also include:

- **Values** – What is personally and professionally important to an employee is a competency when it contributes to the success of the team or organization.
  - For example, a supervisor who values treating everyone with respect will be competent in customer service and interpersonal relations.
- **Motives and status** – What makes a job worth doing and what status an employee has is a competency when these directly contribute to successful job performance.
  - A supervisor who believes that the housing authority mission makes a difference in people's lives will likely demonstrate competence in leadership and vision.
- **Attributes** – Characteristics of an individual's personality—when they contribute to results—are a competency.
  - For example, the supervisor with a willingness to take risks and make quick decisions in crisis situations, when these attributes are needed, is demonstrating a competency.

Benefits of Working with Competencies

All levels of an organization benefit from having well developed competencies in place and in use.

Employees benefit because clear standards or competencies:

- Help individuals identify their strengths and weaknesses as perceived by others within the organization
- Can provide the necessary justification for the organization to devote time, money, and other resources to help an individual receive specific support for competency acquisition and application
- Improve communications among peers regarding key performance issues
- Improve team relationships and performance
- Dramatize the importance of the affective elements (that is, the feelings or attitudes) affecting job performance and employees' impact upon others

- Provide sensitive personal information to employees about the influence their behaviors have on those they interact with
- Suggest the need to consider alternative career choices, pursuits, and areas of exploration for career satisfaction

Also, when competency standards are used, the organization benefits because:

- The strategic goals of the organization are connected with what employees are actually doing.
- It draws a direct relationship between an employee's skills and the work they do as well as between an individual's skill and the team's competence.
- Employee selection and training as well as job descriptions and qualifications are based on specific competencies, making performance evaluation become explicit.

Agencies can build competencies by tracking that employees are applying what they have learned. Ongoing training, testing, and tracking, learning management web-based systems, integrating competency models, and/or purchasing consulting to implement these models are some of the various ways that agencies can establish a system of business competencies.

SECTION 5 MEETING MANAGEMENT

Introduction

Because conducting meetings occur in all functions of management and use all the communication competencies, this section is devoted to managing an efficient and effective meeting.

Meetings are very expensive activities when you consider the cost of labor and how much can or cannot be accomplished. This means you should take meeting management very seriously. A good, well-run meeting can make the difference in a team's effectiveness.

The meeting is where you'll bring your interpersonal, intrapersonal, and linguistic competencies, as well as other knowledge, skills, and abilities.

The steps and structure of your meeting depend on the type of meeting you plan to have (staff meeting, planning meeting, or problem-solving meeting). Certain basics, such as selecting invitees and developing agendas, are common to most types of meetings.

Frontline supervisors typically manage regular staff meetings. Public housing property managers should absolutely meet monthly with site staff—running a project is a monthly business, and you need to go over the "vital signs" of your project monthly. Other supervisors or managers should also meet with their staff regularly—at least quarterly.

As a supervisor or manager, you may need to call other kinds of meetings—with a resident council, potential voucher landlords, a multi-departmental team planning the transition to asset management and site-based management, a community meeting, or a meeting with another department. For any type of nonroutine meeting, consider the following:

Select and Prepare Participants

Select the right people for the meeting. Who you want to attend depends on what you want to accomplish in the meeting.

- Have expert staff to get good background data, bring in decision makers when an agenda item requires.
- Without the right people there, or with too many people, the meeting might be useless.
- Ask several other team members for their opinion as well.

Let people know about the meeting, its overall purpose, and why their attendance is important. The communication should include where the meeting will be held and when, the list of participants, and who to contact if they have questions. Send out a copy of the proposed agenda along with the meeting notice.

Develop an Agenda

Before a nonroutine meeting, develop an agenda with input from the other key participants. In the agenda, list, in order of presentation, each major topic for the meeting.

- Next to each major topic, include the type of action needed, such as decision, vote, or action assignment. List the estimated time needed to complete by each item.
- Keep the agenda posted for a few days or week before and after the meeting.

Open the Meeting

When opening any meeting, including your routine meetings, you should always start on time.

In your nonroutine meetings, adopt the following best practices:

- Welcome attendees and thank them for their time.
- Review the agenda at the beginning so participants understand all major topics, review and change them, and ultimately accept them.
- Clarify your role(s), as supervisor, in the meeting.
- Designate someone to record important actions, assignments and due dates during the meeting. Send summaries to each participant shortly after the meeting.

Establish Ground Rules for Meetings

Ground rules are descriptions of the behavior and demeanor that is expected from participants in the meeting. For example, if the meeting is intended to reach a difficult decision, you may want participants to feel free to offer any and every alternative and yet stay focused on the topic at hand.

Examples of effective ground rules are:

- All attendees participate.
- Everyone remains on the task at hand.
- No one interrupts.
- Participants stay on time and keep the momentum.
- Team resolves or refers all issues on the agenda.
- Everyone maintains confidentiality when appropriate.

Review ground rules for new members of the group. You may want to post the ground rules with a new group, or if there has been a history of conflict or interruptions. Support people who follow the ground rules and deal with those who don't.

Facilitate the Meeting

As the supervisor, you want to make sure that everyone has a chance to contribute. If a particular person or faction is dominating a meeting, you may want to simply say, “I’d like to hear from some of you who haven’t said anything yet.” You could call on some attendees and ask if there’s anything they’d like to say, but don’t put anyone on the spot or require anyone to speak up.

You want to create a safe enough environment where no one is afraid to contribute. Meetings are not a good place to resolve personal conflict. Occasionally you may need to state that a particular contentious subject will be discussed later in a more private setting. Not allowing interruptions, listening for the quiet person who makes a good suggestion, politely limiting someone who gets carried away by the sound of his or her own voice, and modeling openness to collaborative communication are all ways of ensuring an effective meeting environment.

Manage Time in Meetings

One of the most difficult meeting management tasks is managing time. Many meetings spend valuable time on insignificant agenda items, only to find that time has run out to consider the essentials. Before time runs out on a particular subject, either ask the group or decide as supervisor whether this discussion is achieving the stated goal for the discussion-problem solving, information sharing, decision making? Should you move this discussion to another arena-the next meeting, another type of meeting, a personal discussion, or committee?

Be firm and keep the group to the decision.

Close the Meeting

Closing meetings can be as important as the agenda or opening. This is an opportunity to draw everyone back to the primary purpose of the meeting.

Always end meetings on time and on a positive note. Summarize the decisions, actions and assignments that resulted from the meeting. Set the time and location for the next meeting and ask each person if they can make it or not.

Prepare Minutes

Minutes provide the permanent record of important meetings. Effective minutes allow supervisors and staff to move forward with decision-making and planning. In your minutes, include a brief discussion of the issue, agreed-upon follow-up on any action needed, the person responsible, and the date due for the next step or completion.

Section 6 Decision Making

As a supervisor, you will be spending a good deal of your time solving problems and making decisions. The ability to make decisions is a competency; your knowledge, skills, and abilities are required over time to know how and when to solve various kinds of problems.

Tips for Decision Making

Just as people are different, so are their styles of decision making. Recognizing this, here are some tips to enhance your decision-making success.

- Do not make decisions that are not yours to make.
- When making a decision you are usually simply choosing from among alternatives. You are usually not making a choice between right and wrong.
- Some decisions are best made collaboratively. If appropriate, move slowly on the high-stakes decisions that will affect people significantly.
- Generally, avoid snap decisions. However, some decisions need to be made immediately, and by you.
- Choosing the right alternative at the wrong time is not any better than the wrong alternative at the right time, so make the decision while you still have time.
- Do your decision-making on paper. Make notes and keep your ideas visible so you can consider all the relevant information in making this decision.

Steps for Decision Making

There is no magic formula for "easy" decision making. Following some simple steps can, however, help you become a more effective decision-maker.

Step One – Explore the problem

- Get the details. Before you can start to make any decisions, you need to be absolutely clear about the details in the problem you are trying to solve. One simple technique is just to write out in a sentence or two describing the "who, what, when, and where" of the problem.
- Consider everyone's perspective. Perspectives are simply different lenses through which you look at the problem. Write a sentence or two about how people involved "see" or perceive the situation. By exploring different perspectives you start to get a feel for those that you are most attracted to.

Step Two – Define the problem

- Get clear on your ideal outcome. When you are faced with a big decision, it is easy to get lost in the detail. An alternative is to define and describe exactly what you want to happen or be true when the decision is made. Knowing your ideal outcome and then using this ideal outcome to inform your choice will help narrow down your course of action.
- Imagine you aspire to be a CFO of a Top 100 company. By having clarity on your outcome, you can make choices on promotions and experience linked to this ideal outcome.

Step Three – Develop a plan

- Consider all possible options or alternatives and then:
  - Assess the implications. All decisions have implications. If it is a decision at work, it has implications for you, your peers, your team and your superiors. Depending on the decision (e.g., a promotion at work) it may even have implications for your family.
    - Weigh up pros and cons. Another way of looking at a decision is to consider the advantages and disadvantages of each of the options open to you. Simply listing the advantages and disadvantages of each option is a powerful way of moving forward on decisions.
    - Select an alternative. Consider solutions that match what's important to your team and your agency. Look for long-term solutions, not just the fast fix. Be sure to consider whether your solution is realistic right now and if you really have the resources needed.
- Create a plan and act on it. Remember that your plan is just a "try." If you do not reach your "ideal outcome" you may start some or all of the decision making steps again. You should stay closely involved to make certain the problem has been resolved.

Finally, you may want to ask, "What changes should be made to avoid this type of problem in the future?"

Remember that your agency and your team are likely to change – even while you are working hard to solve a current problem. Stay as flexible as possible and keep an open mind to new facts and alternatives. Be careful not to believe that the current solution is the best solution based on how much energy went into making it.

SECTION 7 TIME MANAGEMENT

Introduction

Supervision includes a wide variety of activities, many of which cannot be completely controlled or predicted.

Some supervisors are overwhelmed by the demands of the job. The ability to manage time is absolutely critical to the success of the any supervisor.

A time management problem doesn't necessarily mean that there's not enough time to get things done. It may mean that time is not being used to the fullest advantage.

You may think that planning your time takes more time. Research demonstrates quite the opposite. When applied, time management techniques increase the effective use of time and provide more available time for other endeavors.

Because time management problems have so many causes, they require more than one technique to fix. Don't assume, however, that “the fix” will take a lot of work. The simple act of recognizing the issue and beginning even one technique will be a benefit because you will be in control rather than letting the stress control you.

Techniques to Manage Time and Stress

There are many methods to manage your time at work-using these will reduce your stress. What is interesting is that most people know these methods! Try selecting a few and practicing them. Consider the following techniques:

- **Use basic techniques of planning, problem solving and decision-making.**
  - **Set personal and team goals.** Describe where you want to be and what steps you are going to take to get there. Describe these in writing and periodically check your progress.
  - **Realistically and practically analyze your time.** Logging your time for a week in I5-minute intervals is not that hard and does not take up that much time. Do it for a week and review your results.
  - **Make a "projects" plan.** Brainstorm every thing you need to do, put each item into a category that "fits", then prioritize within those categories according to your personal and professional goals.
  - **Do a "to-do" list for your day.** Do it at the end of the previous day. Mark items as "A" and "B" in priority. Set aside two hours right away each day to do the important "A" items and then do the "B" items in the afternoon. Let your answering machine take your calls during your "A" time.
  - **Write weekly status reports.** Include what you accomplished last week, what you plan to do next week and any current issues or recommendations.
  - **Ask your supervisor for regular feedback and monitor your own accomplishments of the team's goals.** Be sure that your job makes sense. Have an overall plan.
  - **Ask yourself, "Is this what I want or need to be doing right now?"** If yes, then keep doing it.
- **Use good supervisory skills of delegation and performance management.**
  - **Delegate.** Delegation is one of the most important skills for a leader to have. Effective delegation will free up a great deal of time for you.
  - **Learn the difference between "Where can I help?" and "Where am I really needed?"** Experienced leaders learn that the last question is much more important than the former.

- **Try some routine time management techniques.**
  - **Monitor the number of hours that you work in a week.** Set a maximum, tell someone, and review regularly.
  - **Do routine tasks at the same time each day.** That way, you'll likely get to your mail on a regular basis and won't become distracted into any certain piece of mail that ends up taking too much of your time.
  - **Have a place for everything and put everything in its place.** Another important outcome is that your people will see that you are somewhat organized, rather than out of control.
  - **Manage the details…establish a filing system!** Go through your stack of papers on your desk, labeling files according to the responsibilities listed on your job description, put the folders in alphabetical order in a storage cabinet.
  - **Use a "Do Not Disturb" sign!** During the early part of the day, when you're attending to your important items (your "A" list), hang this sign on the doorknob outside your door.
  - **Spend five minutes cleaning up your space at the end of each day.** Use this time, too, to organize your space, including your desktop. That'll give you a clean start for the next day.
- **Take good care of yourself.**

Remember…the goal of time management is not to find more time! The goal is to set a reasonable amount of time for each task and then use that time wisely. Good time management comes from good planning!

"Have the Guts"

Have the guts to say, **"I want to be less stressed and more in control of time in my work and private life."**

Have the guts to say, **"I'm going to learn and practice how to be less stressed and more in control of my time."**

Have the guts to say **"I deserve to be less stressed and more in control of my time. And I will be!" (**whether or not you believe that…right now!)

Finally, have the guts to leave. It may be that you and your job need to part ways – that you're simply no longer motivated in your work. It's a wise supervisor who can recognize this and arrange for a healthy transition to a new supervisor.

LEARNING ACTIVITY 3-6: Time Management Self-Evaluation

Take a moment to think about and write down your response to the following questions:

1. I use my time well when I:

2. I waste time when:

Section 8 Supervising for Customer Service

Customer service is a key competence. The manager demonstrates to your staff how to treat the people you serve. The way you treat an upset customer is fundamentally not different than the way you treat an upset employee. In this section, you can translate this approach to employees as well.

Upset Customers

What are the reasons that a customer may be upset?

- Expectations have not been met
- Already upset at someone or something else
- Feels like a victim-not much power in their life
- Feels that no one will listen unless they yell
- Someone in your agency was rude, indifferent or discourteous
- Was told one thing by one staff person and something different by another
- Doesn’t feel is being listened to
- Using “being upset” to manipulate you
- Given a smart or flippant reply
- Embarrassed at doing something incorrectly
- Feels that you do not have enough job training to handle their situation quickly and accurately
- Was told they don’t have the right to be angry
- Was transferred on the telephone without being told or giving their consent
- Their integrity or honesty has been questioned

You cannot control another person’s behavior, but you *can* change your behavior to avoid causing further annoyance. Even though you may not be personally responsible for the problem, you may be the one who has to deal with it. Remember that we work in a service industry.

Learning to deal with people who are upset (and training and mentoring your staff to do so) is as essential as learning the technical rules of the program.

The nature of the job requires that you will sometimes work with persons who are frustrated, confused, rude, or irate. There are things that you can do to prevent these minor clashes from escalating into major crises.

"Upset" people are different than "difficult" people. When any of us gets upset, we may become momentarily unreasonable, but we are still basically rational and reachable.

Here is a process for responding to and resolving conflicts with persons who are upset.

Step 1: Let the difficult person vent

When people are upset, they want two things:

- First, they want to express their feelings, and then they want their problem solved. They will usually vent to the first person they encounter, so trying to resolve the situation without first listening seldom works.

Avoid these phrases as an immediate response:

- You don't seem to understand…
- You must be confused…
- You have to…
- We won't….we can't…we never…
- You're wrong…
- It's our policy…

Step 2: Acknowledge the emotion

This is a very simple step and only takes a moment, but goes a long way. Once the person feels acknowledged as a whole person, they are likely ready to deal with the content of the problem.

This step is as simple as reflecting back:

- "Sounds like you're really frustrated about this."
- "Feels like you're worried about this."
- "I can see you're angry."

Don't put a value judgment on this. It's not good or bad that someone is frustrated or worried or angry, it's just a fact.

Empathy means appreciating and understanding someone else's feelings, but not necessarily agreeing with them. Showing empathy helps to build rapport.

Empathetic phrases include:

- I can see why you feel that way
- I see what you mean
- That must be very upsetting
- I understand how frustrating this must be
- I’m sorry about this

Service providers sometimes have a hard time saying “I'm sorry” because they see it as an admission of guilt.

Saying “I'm sorry” to a client does not imply you did anything wrong; it simply conveys that you are genuinely sorry the client has had a bad experience.

- Try saying it this way, “I'm sorry that you had a bad experience.”

And don’t worry if you don’t get it right. The person will let you know. For example:

- You: “I can see you’re worried about this.”
- Resident: “I'm not worried! This has gone on for way too long!”
- You: “Sounds like you’re frustrated. How can I help?”

Step 3: Avoid getting trapped in a negative loop

The friction between you and a difficult person can be worsened by how you interpret his or her behaviors. The result is that you begin to view the person in terms of whatever label you assign to the behaviors. This is a judgment on your part of how the person “should” be.

Here is an example of how a negative loop can happen.

- **Resident:** Why isn’t my stove fixed yet? I told the office about it two weeks ago!
- **You:** Well, did you call the maintenance number, or did you just tell someone in the office?
- **Resident:** I told the housing specialist and she said she’d tell the maintenance worker!
- **You:** (sighing) Well, she should have told you to call the maintenance number. That’s not my fault.
- **Resident:** Don’t you people talk to each other? I just want my stove fixed!
- **You:** We tell all the residents to call the maintenance number!
- **Resident:** Who’s in charge around here? I just want my stove fixed!

- **You:** Don't talk to me like that!
- **Resident:** Don't talk to me like that!

A good way out of a negative loop is to ask, ***"What can I do to help you now?"*** and to ask yourself, ***"What does this person need and how can I provide it?"***

In truth, the person's behavior has no ability to affect you unless you choose to lose your peace of mind. In other words, there is no need for you to take this personally.

Other people's behavior and attitude is their responsibility. Your behavior and attitude are your responsibility.

Let's revisit that negative loop and do it differently:

- **Resident:** Why isn't my stove fixed yet? I told the office about it two weeks ago!
- **You:** Sorry about that! Did you call the maintenance number, or did you just tell someone in the office?
- **Resident:** I told the housing specialist and she said she'd tell the maintenance worker! This is driving me crazy—I have a family gathering coming up and I need all the burners working!
- **You:** I can see that's a worry for you.
- **Resident:** You better believe it! I just want my stove fixed!
- **You:** Sounds like the housing specialist forgot to enter your request into the work order system. Let me do that right now, and I'll mark it as urgent.
- **Resident:** Thank you! Somebody's doing something! How long will it take?
- **You:** We'll be there within 48 hours. Will that work for you?
- **Resident:** That's great. Thanks!

Step 4: Begin active problem solving

When you begin active problem solving, you are no longer on the receiving end. You are asking questions that get to the cause of the person's problem.

Listen to everything the person says, and don't jump to conclusions.

Gather any additional information you may need by asking good questions, then double check the facts by mirroring them to the person. Then you'll be ready to work on a solution.

Step 5: Offer a solution and get agreement

See example in Step 6 below.

Step 6: Follow up

Here is an example of the process:

- **Resident:** (angry) Your office sent me a letter that my apartment was going to be inspected last Tuesday between 8:00 a.m. and 3:00 p.m. I took off work and nobody ever showed up. Now I get another letter saying that it has been rescheduled and if I'm not there I will be in violation of my lease. It's hard for me to get off work on short notice and my boss is mad at me now. I waited all day and nobody showed up!
- **You:** I can see why you're upset. I'm sorry for the inconvenience! I'll definitely look into that.
- **Resident:** (frustrated) Well, what am I supposed to do if my boss won't let me off from work for this next appointment? And why do I have to stay home all day without knowing what time they'll be there to inspect the apartment, anyway? I even called the maintenance department twice, but nobody was there. It seems like you're trying to find ways to evict me.
- **You:** Do you have the letter rescheduling the appointment with you now?
- **Resident:** Yes, here it is…
- **You:** Thanks. Let me pull up your record and see if I can figure out what happened. What are your regular working hours?
- **Resident:** Well I work from 8:00 to 5:00 Monday through Thursday, and 10:00 to 6:00 on Fridays, but it's going to be tough to get another day off work for this.
- **You:** Would it help if we could schedule your inspection early on Friday morning so you wouldn't have to take off work?
- **Resident:** Can you do that?
- **You:** Sure. If none of the inspectors are available, I'll do the inspection myself. Does 8:30 on Friday morning work for you?
- **Resident:** That's perfect.
- **You:** And I'll inform the property manager in writing that you were home for the inspection, so it won't be considered a lease violation. I'll look into what happened with our inspection scheduling. I apologize again for the inconvenience.
- **Resident:** I appreciate that. Thanks for all your help!

SECTION 9 SUPERVISORY STYLES

Your supervisory style is the approach you use in providing direction, implementing plans, and motivating people. Basically, a supervisor may ***direct*** others, ***involve*** others, or ***delegate*** to others depending on their style of leadership. Most supervisors and managers use all three styles, although one of these is usually dominant.

Example: Using All Three Styles

Telling employees that a procedure is not working correctly and a new one must be established is ***directing***.

Asking for their ideas and input on creating a new procedure is ***involving*** others.

Giving various tasks to others in order to implement the new procedure is ***delegating***.

A good manager uses all three supervisory styles, depending on the circumstances with him or her, the staff, and the situation. The amount of ***direction*** and ***support*** you provide to each individual depends on the ***competence*** and ***commitment*** of that employee.

Some examples include:

- ***Directing*** a new employee who is just learning the job when the manager is competent and a good coach. The employee is motivated to learn a new skill. The situation is a new environment for the employee.
- ***Involving*** a team of workers who know their job when the supervisor knows the problem well and wants the employees take ownership of the project. Because the employees know their jobs, they want to become part of the team. The situation allows time.
- ***Delegating*** to a worker when the worker knows more about the job than you do. You can't do everything! The employee needs to take ownership of the job. Also, the situation might call for you to be at other places doing other things.

Forces that influence leadership style include:

- Type of task
- How well employees know the task
- Time available
- Laws or established procedures
- Respect among team members
- Type and amount of stress
- Internal conflict

DiSC®

LEARNING ACTIVITY 3-7: Managing Yourself and Others

- The person who is truly productive in working with other people knows her/himself and understands how they affect other people, why they affect people the way they do, and why other people affect them the way they do. They know their own strengths and weaknesses. They not only know these things, they do something about it! This person maximizes their strengths and minimizes their weaknesses. They develop a positive attitude about themselves which causes others to trust and have confidence in them. The truly successful person develops the ability to study situations and people and adapts appropriate behavioral strategies.
- The perception of differences is often the root of conflict between people. When people solely focus on their differences, they are less productive. When people acknowledge and work to understand differences, and build on common ground towards common goals, they are more productive.
- DiSC® is a self-assessment instrument used to improve work productivity, teamwork, and communication. DiSC is non-judgmental and helps people discuss their behavioral differences. When you completed your online DiSC profile, you were asked to complete a series of questions that produced a detailed report about your preferred behavior. You can utilize this knowledge to better manage yourself and your team in your work environment.
- DiSC is not a personality test. It does not measure intelligence, aptitude, mental health or values. DiSC profiles describe human behavior in various situations, for example how you respond to challenges, how you influence others, your preferred pace, and how you respond to rules and procedures. It indicates behavioral styles. This is important because behaviors are adaptable and can be modified in the short term. Personalities are intrinsic and cannot be modified in the short term.
- DiSC benefits are basically two-fold:
  - Build from strengths and help adapt our behavior when we need to improve productivity
  - Develop awareness of others' styles

- These benefits result in the following pay-offs:
  - We know way different styles want to be communicated with.
  - We understand the preferred work environment.
  - We know how each style will react to certain situations.
  - We know what to avoid when dealing with different styles.
- DiSC profiles will help you and your team:
  - Increase your personal knowledge about yourself such as your response to conflict, your motivational needs, yours stress triggers, and how you approach problem solving.
  - Learn how to adapt your own style to better meet the needs of others.
  - Facilitate constructive and creative group interactions.
  - Foster better teamwork and minimize team conflict.
  - Develop stronger customer service skills by identifying and responding to customer styles.
  - Manage more effectively by understanding the behavioral styles and priorities of employees and team members.
- The DiSC model discusses four "behavioral styles" or reference points: D for Dominance, I for Influence, S for Steadiness and C for Conscientiousness. These behavioral styles influence interactions, decisions, and much of what happens during the day. Understanding the four quadrants of behavioral styles will help managers realize that allowing their own style drive all of their interactions with others will not result in the most productive work environment.
- There are four behavioral styles. Each style has recognizable behaviors. Each style has strengths and vulnerabilities. Most people have a dominant style. Behavior styles are not "good" or "bad." All four styles are needed for the success of an organization. We can effectively work together with all styles – provided that certain conditions exist:
  - Mutual respect
  - Mutual trust
  - Willingness to adapt behavior as needed

Understanding Your Communication Style–DiSC

The DiSC profile is a nonjudgmental tool for understanding behavioral types and personality styles. It helps explore behavior across four primary dimensions:

- **Dominance**: To the point, decisive and bottom line oriented. These people tend to be independent and results driven. They are strong-willed people who enjoy challenges, taking action, and immediate results.
- **Influence**: Optimistic and outgoing. They tend to be highly social and outgoing. They prefer participating on teams, sharing thoughts, and entertaining and energizing others.
- **Steadiness**: Empathetic & cooperative. These people tend to be team players and are supportive and helpful to others. They prefer being behind the scene, working in consistent and predictable ways. They are often good listeners and avoid change and conflict.
- **Conscientiousness**: Concerned, cautious and correct. These people are often focused on details and quality. They plan ahead, constantly check for accuracy, and want to know “how” and “why.”

Chapter 3 - My Career Map

List here your competencies as a supervisor and leader. We return to this information again and again as you move through this supervisory management course.

Who and Where I Am	NOW	Who and What I Want to Be	What I Will Do	Date
My Functional Competencies:				
My Interpersonal Competencies:				
My Intrapersonal Competencies:				
My Communication Competencies				
Verbal				
Public speaking				
Written				
My Meeting Management Competencies				
My Time Management Competencies				
DiSC Profile				

SECTION 10 CHAPTER 3 POST TEST

1. A professional standard in communication for a supervisor or manager would be to meet regularly with employees.
   a. True
   b. False

2. If personality conflicts arise during a meeting, the supervisor must be skilled at resolving those interpersonal conflicts in the meeting.
   a. True
   b. False

3. When writing a document, the following is a helpful principle:
   a. Use complex and eloquent words as much as possible
   b. The first draft is always the best
   c. Draft, edit, and revise
   d. The longer the better, so you can explain everything
   e. Target the document to the most educated audience

4. Good supervisors use different coaching techniques based on employees':
   a. Length of time in the job and attitude
   b. Learning level and commitment
   c. Intelligence and mood
   d. Job position
   e. Salary and benefits

5. Often, it's important to give feedback publicly, so that everyone benefits.
   a. True
   b. False

6. Which of the following is generally true about decision-making? (two correct answers)
   a. The manager should be able to make all decisions immediately
   b. The manager should make some decisions collaboratively
   c. All decisions should be final
   d. Not making a decision is making a decision
   e. The manager should always move quickly on high stakes decisions that will significantly affect people or programs

7. The common supervisory styles the supervisor or manager would use, depending on the situation, are:
   a. Nice, not so nice, and mean
   b. Interpersonal, intrapersonal, and communicative
   c. Directing, involving, or delegating
   d. Authoritative, authoritarian, and competent

8. A time management problem always means that there is not enough time to get things done.
   a. True
   b. False

9. The first step in decision-making is to:
   a. Consider consequences of all possible decisions
   b. Weigh up pros and cons
   c. Create a plan and act on it
   d. Explore the situation and define the problem
   e. Clarify desired solution

10. The amount of direction and support a manager provides to each employee depends largely on the employee's:
    a. Length of time in the job
    b. Competence and commitment
    c. Attitude and friendliness
    d. Tasks and responsibilities
    e. HUD regulations and PHA policies

11. For a new employee who is just learning the job, the style the manager would best use would be:
    a. Directive
    b. Involving
    c. Delegating
    d. Authoritarian
    e. Influencing

12. Competencies consist of:
    a. ______________________________
    b. ______________________________
    c. ______________________________

13. E-mails can be deleted and therefore you can say something in an e-mail that cannot be traced.
    a. True
    b. False

14. Working well with others, understanding them and being adept at communicating, is an interpersonal competency or intelligence. Being able and willing to be honest with yourself and monitor your own feelings, thoughts and moods is a type of what type of competency?
    a. Meeting management
    b. Personnel management
    c. Intrapersonal intelligence
    d. Drinking more coffee
    e. Business planning

15. Understanding how to work collaboratively is an important competency only when working with external customers.
    a. True
    b. False

16. There is a big decision of which you're aware. Some questions you would ask yourself might include:
    a. "Is this decision mine to make?"
    b. "Is this decision best made collaboratively?"
    c. "Does this decision need to be made immediately, and by me?"
    d. All of the above

17. *Ability* is knowing when and how to apply:

    ____

SECTION 11 CONTINUED LEARNING

Functional Competencies

Introduction

The competencies in the major functions of planning, organizing, staffing, directing and controlling will be explored in this section. Some of these functions and other competencies will be presented again in more detail in later chapters.

The Planning Function

The planning function is a primary responsibility of any supervisor or manager. Planning requires both leadership and management. Without leadership and planning, a work unit or department tends to become bureaucratic.

The planning function is shared with those higher on the organizational chart, and should also be shared with and to some degree delegated to staff.

"Crisis manager" type supervisors often find the planning process to be cumbersome and not worth the effort. Progressive supervisors and managers find the skills of planning to be indispensable. If you're failing to plan, you're planning to fail! Due to increasing amounts of change coming in the low-income housing industry, skills and abilities in planning will be required of managers.

Major competencies for planning

To be able to generate ideas.

To be able to think conceptually.

To be able to analyze problems.

Activities in the planning function

The activities that must be addressed sequentially are:

- **Forecast:** Establish where the present course will lead.
- **Set objectives:** Determine desired outcomes, or end results.
- **Develop strategies:** Decide how and when to achieve goals to meet objectives.
- **Program:** Establish priority sequence and timing of steps, and responsibilities.
- **Budget:** Allocate resources.
- **Set procedures:** Standardize methods.
- **Develop policies**: This is the point at which major plans are brought to the director and/or board. Whether the plan is a strategic plan, a program plan, or a budget, the plans are defined in policies, which become the responsibility of the executive director and staff to implement.

The Organizing Function

Unless organized into cohesive administrative components, the most detailed plans in the world become a waste of time. Managers need to have an internal vision of how their projects and programs will function on a daily basis, while carrying out short-term and long-term plans.

- If normal operations consume all the staff, time, and talent, the PHA is **efficient**. If normal operations can function well and time, staff, and talent are also available to address short- and long-term planning, the PHA is **effective**.

The organizing function can be extensively delegated. The extent to which delegation can take place depends on directors' willingness to delegate and the ability of the staff to absorb the delegated tasks.

- Directors of large PHAs must learn to delegate, while directors of smaller PHAs must learn to be well organized. Both positions demand executive type behaviors but separate skills.
- Highly effective supervisors know they must build efficient and effective operating teams, capable of independent problem-solving. When supervisors encourage such behavior, their staffs usually become involved in discretionary decision-making and empowered judgment.

Besides internal vision and delegation, another major activity in carrying out the organizing function is the ability to perform organizational analysis.

- When supervisors review their projects or programs on an annual basis and seek to find ways for them to become more efficient and effective, they are performing organizational analysis.

Simply put, the manager needs to know how to organize and institute ongoing modification for productivity.

Major competencies for organizing

To be able to organize ideas and things.

To be able to be an administrator.

To be able to make decisions.

The ability to be goal-oriented and not just problem-oriented.

The tendency toward positive (can-do) thinking.

Major functions in the organizing function

Interprets, implements and administers PHA policies and all federal and state housing regulations.

Provides for the administration and management of the work team.

Directs and coordinates activities of staff.

The Staffing Function

A key to the success of any organization is its ability to attract and retain excellent employees. As well as the right steps, the right compensation, the right processes, the motivational climate of the PHA is an essential ingredient.

- Occasionally, a supervisor can be technically competent and knowledgeable, but can experience difficulty in motivating and "getting along" with their staff, perceiving these issues as a "people problem."

When managers demand a vision of excellence, the PHA maintains high performance outcomes through appropriate hiring, maximum skills development, quality supervision/feedback, a positive working environment, and a direction for the future through career ladders and succession planning.

Again, PHAs must ensure that work is done efficiently and effectively by competent directors and staff. Adding more and more positions does not make the PHA more efficient and effective, and the PHA cannot remain financially viable if it is overstaffed.

Taking the project as an example, some factors in the consideration of staffing levels include:

- What are the functions needed at the project? Which positions conduct lease-up, reexaminations, inspections, lease enforcement, informal hearings, terminations, developing and managing to the budget, collecting rents, procuring goods and services, monitoring contracts, overseeing make-readies and maintenance, and overseeing economic self-sufficiency activities and community service?
- Are the competencies (knowledge, skills and abilities) of current staff adequate to ensure high performance of the project?
- How well does technology assist in the generation of reports and analyses?
- How important are strong relationships between the position and the public housing families? Between the position and agencies in the community?
- Does the person have responsibilities in different geographic locations? Are these scattered, distant, or very close together?
- If the person has a caseload, how big is the caseload?

While there are no rigid industry standards, a general rule of thumb with regard to staffing levels at public housing projects is approximately one administrative staff person per 100 units and one maintenance generalist per 50 units. The number of staff could vary from these guidelines depending on the unique characteristics of a property.

The Housing Choice Voucher Occupancy Guidebook (chapter 21) goes into some detail about caseloads. Following is an excerpt:

- Generally, programs with the occupancy specialist function have caseloads ranging from 400 to 600 clients, depending on a number of factors. Most important are the functions assigned to the staff members, the extent to which the automated systems assist in document and letter production, the quality of the monitoring systems, the amount of clerical support, program requirements for tenants to report interim changes, program turnover, and the number of participant moves.

Major competencies for staffing

Staffing the team or program

Empowering staff to accomplish desired goals

Ability to create a motivational climate within the organization

Ability to analyze an employee's motivational attitude

Maintaining effective communications

Major activities in the staffing function

Select: Recruit qualified staff for each position

Orient: Familiarize new people with work

Train: Make staff proficient by instruction, practice, and monitoring

Develop: Help improve knowledge, attitudes and skills by training, coaching, monitoring, and mentoring

The Directing Function

Leadership must go beyond the use of authority, to demonstrate characteristics such as integrity, vision, and influence. Managers should be capable of both assigning and inspiring staff to desired action. Managers must be able to manage change and differences. Change must be seen as a process which can be understood and recognized at various stages.

Managers need to view various situations for what they are, and choose the most adaptive style of leadership to bring about purposeful action. The ability of the director to be adaptive will promote flexibility and reasonable risk-taking behavior on the part of others. Honest mistakes will serve as lessons, and success at overcoming them will bring recognition.

Leaders control while at the same time allow others to participate and experience a sense of achievement, involvement, recognition, and personal growth.

For example, the HCV manager must direct supervisors and staff to meet board expectations for program utilization; performance measures may differ among PHAs, but certainly are not lower than acceptable SEMAP standards.

Major competencies for directing

Ability to be adaptive in applying appropriate leadership styles

Ability to focus on important causes rather than urgent symptoms

Major activities in directing

Set up a long-term agenda (strategic planning) as well as a short-term agenda (day-to-day operations)

Develop and nurture a network of relationships, both inside and outside the organization

Motivate and effectively use that network of people to implement both agendas.

The Controlling Function

Evaluating the agency's or department's personnel is a major element of the controlling function. Answering a basic question of staff, "How am I doing on the job?" in a human, just and legal manner is good supervision. Engaging staff in a consistent, informative and participative performance appraisal system and dialogue is an inherent element in effectively evaluating performance.

By accurately appraising staff and referring to their job descriptions during the performance appraisal process, directors exercise control over the ongoing operations of the PHA.

In private rental real estate, the performance of the property is tied to the evaluation of the property manager. As PHAs move forward with asset management, the authority and accountability of property managers will be increased.

Major competencies for controlling

Ability to perceive a wide view of factors - performance of programs and staff, upcoming needs, and motivational environment.

Knowledge of PHA human resources policies and the ability to apply and manage those policies.

Ability to focus on principles and competencies rather than personalities.

Major activities in controlling

Maintain up-to-date and accurate job descriptions.

Assess competencies needed in positions, and current staff competencies in those positions.

Assess staffing needs for agency or program efficiency and effectiveness.

Fairly and accurately evaluate job performance of staff.

LEARNING ACTIVITY 3-8: Make a Decision

Think of a decision that needs to be made or a problem that needs to be solved at your project or in your department. Using this situation, think through the basic steps we just discussed.

1. Explore the problem. Ask yourself the following questions (be specific in your description, including what is (or is not) happening, where, how, with whom and why.

   a. What can you see that causes you to think there's a problem?
      1. Where is it happening?
      2. How is it happening?
      3. When is it happening?
      4. With whom is it happening?
      5. Why is this happening?

   b. Understand both the cause and your role in the problem by asking team members, your supervisor, or related departments. Have them describe the cause of the problem using the same "who, what, when, where, and why" format that you used earlier.

      What can they see that causes them to think there's a problem?
      1. Where is it happening?
      2. How is it happening?
      3. When is it happening?
      4. With whom is it happening?
      5. Why is this happening?

   c. You describe your role in the problem including the "who, what, when, where, and why," and add how you feel about the problem.

      What can you see that causes you to think there's a problem?
      1. Where is it happening?
      2. How is it happening?
      3. When is it happening?
      4. With whom is it happening?
      5. Why is this happening?

   d. Write down a five-sentence description of the problem.

2. Define the problem. Ask yourself the following key questions:
    a. What should be happening but isn't? Be specific in your answers and include the who, what, when, where, and why.
        1. Where should this be happening?
        2. How should this be happening?
        3. When should this be happening?
        4. With whom should this be happening?
        5. Why should this be happening?
    b. What is happening that shouldn't be? Again, be as specific in your answers and include the who, what, when, where, and why.
        1. Where shouldn't this be happening?
        2. How shouldn't this be happening?
        3. When shouldn't this be happening?
        4. With whom shouldn't this be happening?
        5. Why shouldn't this be happening this way?
    c. Ask team members, your supervisor, or related departments what they think should and shouldn't be happening. Have them describe this by using the same "who, what, when, where, and why" format. Have them describe how they "feel" about the situation.
        1. Where should this be happening?
        2. How should this be happening?
        3. When should this be happening?
        4. With whom should this be happening?
        5. Why should this be happening?

        And. . .

        1. Where shouldn't this be happening?
        2. How shouldn't this be happening?
        3. When shouldn't this be happening?
        4. With whom shouldn't this be happening?
        5. Why shouldn't this be happening this way?
    d. Now, if there are several related problems, rank them here with #1 as the most important or serious in your opinion and in the opinion of others.
        1. ______________________________
        2. ______________________________
        3. ______________________________
        4. ______________________________
        5. ______________________________

3. Develop a plan of action. Keep in mind that your plan is based on your best, informed guess at what will work in this situation. There are rarely perfect decisions or solutions.

   a. List all possible alternatives to your current situation. Don't worry about whether they are the best ideas—just write them down as you think of them.

      Alternative1. ____________________

      Alternative 2. ____________________

      Alternative 3. ____________________

      Alternative 4. ____________________

      Alternative 5. ____________________

      Alternative 6. ____________________

   b. Consider each of these alternatives by answering all of the following questions:

      1. Which alternative supports what's important to the team and the agency? What is important in this situation?

         Alternative ____________________

      2. Which alternative will solve the problem for the long term?

         Alternative ____________________

      3. Which alternative is the most realistic to accomplish for now?

         Alternative ____________________

      4. Which alternative matches your resources? Are they affordable?

         Alternative ____________________

      5. Which alternative is possible with the time you have available?

         Alternative ____________________

      6. Which alternative has the most manageable risks?

         Alternative ____________________

c. Select one alternative and create a plan to implement the best approach. Your team probably has a good view of this situation and some expert information. Use that expertise to brainstorm all alternatives, their effectiveness, and the steps needed to accomplish them.

1. List all of the steps needed to complete the solution.

Step ______________________

Step ______________________

Step ______________________

Step ______________________

Step ______________________

Step ______________________

Step ______________________

Step ______________________

Step ______________________

Step ______________________

Step ______________________

Step ______________________

2. Now put these steps in order starting with what needs to be done first.

#1 Step ______________________

#2 Step ______________________

#3Step ______________________

#4 Step ______________________

#5 Step ______________________

#6 Step ______________________

#7 Step ______________________

#8 Step ______________________

#9 Step ______________________

#10 Step ______________________

#11 Step ______________________

#12 Step ______________________

d. Finally, add a timeline, indicate resources needed, and assign responsibility for each step. You have developed your plan.

#1 Step ______________________________

____

#2 Step ______________________________

____

#3Step ______________________________

____

#4 Step ______________________________

____

#5 Step ______________________________

____

#6 Step ______________________________

____

#7 Step ______________________________

____

#8 Step ______________________________

____

#9 Step ______________________________

____

#10 Step ______________________________

____

#11 Step ______________________________

____

#12 Step ______________________________

Remember to monitor progress and be willing to change or start again if needed. Problem solving and managing change is the job of a supervisor.

For Your Further Learning: Leadership Style Survey

Directions

This questionnaire contains statements about leadership style beliefs. Next to each statement, circle the number that represents how strongly you feel about the statement by using the following scoring system:

Almost Always True – 5
Frequently True – 4
Occasionally True – 3
Seldom True – 2
Almost Never True – 1

Be honest about your choice. There are no right or wrong answers – it is only for your own self-assessment.

Leadership Style Survey

		Almost Always True	Frequently True	Occasionally True	Seldom True	Almost Never True
1.	I always retain the final decision making authority within my department or team.	5	4	3	2	1
2.	I always try to include one or more employees in determining what to do and how to do it. However, I maintain the final decision making authority.	5	4	3	2	1
3.	My employees and I always vote whenever a major decision has to be made.	5	4	3	2	1
4.	I do not consider suggestions made by my employees because I do not have the time for them.	5	4	3	2	1
5.	I ask for employee ideas and input on upcoming plans and projects.	5	4	3	2	1
6.	For a major decision to pass in my department, it must have the approval of each individual or the majority.	5	4	3	2	1
7.	I tell my employees what has to be done and how to do it.	5	4	3	2	1

Leadership Style Survey						
		Almost Always True	**Frequently True**	**Occasionally True**	**Seldom True**	**Almost Never True**
8.	When things go wrong and I need to create a strategy to keep a project or process running on schedule, I call a meeting to get my employee's advice.	5	4	3	2	1
9.	To get information out, I send it by e-mail, memos, or voicemail; very rarely do I call a meeting. My employees are then expected to act on the information.	5	4	3	2	1
10.	When someone makes a mistake, I tell them not to ever do that again and make a note of it.	5	4	3	2	1
11.	I want to create an environment where the employees take ownership of the project. I allow them to participate in the decision making process.	5	4	3	2	1
12.	I allow my employees to determine what needs to be done and how to do it.	5	4	3	2	1
13.	New hires are not allowed to make any decisions unless I approve the decisions first.	5	4	3	2	1
14.	I ask employees for their vision of where they see their jobs going and then use their vision where appropriate.	5	4	3	2	1
15.	My workers know more about their jobs than me, so I allow them to carry out the decisions to do their job.	5	4	3	2	1
16.	When something goes wrong, I tell my employees that a procedure is not working correctly and I establish a new one.	5	4	3	2	1
17.	I allow my employees to set priorities with my guidance.	5	4	3	2	1

Leadership Style Survey						
		Almost Always True	**Frequently True**	**Occasionally True**	**Seldom True**	**Almost Never True**
18.	I delegate tasks in order to implement a new procedure or process.	5	4	3	2	1
19.	I closely monitor my employees to ensure they are performing correctly.	5	4	3	2	1
20.	When there are differences in role expectations, I work with my employees to resolve the differences.	5	4	3	2	1
21.	Each individual is responsible for defining his or her job.	5	4	3	2	1
22.	I like the power that my leadership position holds over subordinates.	5	4	3	2	1
23.	I like to use my leadership power to help subordinates grow.	5	4	3	2	1
24.	I like to share my leadership power with my subordinates.	5	4	3	2	1
25.	Employees must be directed or threatened with punishment in order to get them to achieve the organizational objectives.	5	4	3	2	1
26.	Employees will exercise self-direction if they are committed to the objectives.	5	4	3	2	1
27.	Employees have the right to determine their own organizational objectives.	5	4	3	2	1
28.	Employees seek mainly security.	5	4	3	2	1
29.	Employees know how to use creativity and ingenuity to solve organizational problems.	5	4	3	2	1
30.	My employees can lead themselves just as well as I can.	5	4	3	2	1

In the fill-in lines below, mark the score of each item on the questionnaire. For example, if you scored item one with a 3 (Occasionally), then enter a 3 next to Item One. When you have entered all the scores for each question, total each of the three columns.

Item	**Score**	**Item**	**Score**	**Item**	**Score**
1		2		3	
4		5		6	
7		8		9	
10		11		12	
13		14		15	
16		17		18	
19		20		21	
22		23		24	
25		26		27	
28		29		30	
TOTAL		**TOTAL**		**TOTAL**	
	Authoritarian Style		**Participative Style**		**Delegative Style**
	(Autocratic)		**(Democratic)**		**(Free reign)**

This questionnaire is to help you assess what leadership style you normally operate in. The lowest score possible for a stage is 10 (Almost never) while the highest score possible for a stage is 50 (Almost always).

The highest of the three scores indicates what style of leadership you normally use. If your highest score is 40 or more, it is a strong indicator of your normal style.

The lowest of the three scores is an indicator of the style you least use. If your lowest score is 20 or less, it is a strong indicator that you normally do not operate out of this mode.

If two of the scores are close to the same, you might be going through a transition phase, either personally or at work, except:

- If you score high in both the participative and the delegative then you are probably a delegative leader.

If there is only a small difference between the three scores, then this indicates that you have no clear perception of the mode you operate in, or you are a new leader and are trying to feel out the correct style for you.

Additional Reading

Let The Rabbits Run: A Parable

Some forest animals started a school to develop their children into well-rounded animals by teaching all of them running, swimming, hopping, and flying.

On the first day of school, the little rabbit excelled in hopping and running class and he enjoyed school because he got to do what he was good at and loved to do. When the rabbit went to swimming class, he was afraid of the water like all rabbits, so he did not swim well. In flying class, he could not get off the ground. He felt like a failure. When the other animals laughed at him, he felt even worse.

When he went home, he was pretty depressed. He told his parents he wanted to quit school. They told him to stick with it since his future success in life depended on mastering all these skills and getting his diploma. The next day, he asked the school counselor for help with his problems. To help him improve in his problem areas, the counselor put him in extra swimming and flying classes (which he hated) and canceled his running and hopping classes (which he loved).... this made him feel sick!

As he left the counselor's office, he met the wise old owl that said, "Life doesn't have to be this way. We could have schools and businesses where people are allowed to concentrate on what they do well."

Learning Activity

Make a list of some of your personal likes and dislikes (i.e.: I like to read novels, I dislike math.) Once you have completed your list, take a look, do any of those translate into strengths, skills or weaknesses in the workplace? Chances are if you avoid or dislike something in your personal life, you aren't going to be drawn towards it in your work life either. A person who dislikes exercise probably won't be fulfilled and successful as a personal trainer.

Pick One Strength and Pursue It

Achievers choose among their many talents and concentrate their efforts. In other words, when they find out what they do well, they do a lot of it.

Focus On Strengths and Manage the Weaknesses

The greatest chance for success lies in reminding people of an existing strength, and getting them to rely on their strengths while instituting a management strategy for their weaknesses. Individuals are always stronger when they have their successes and strengths clearly in mind.

How to Identify Your Strengths

A strength is a pattern of behavior, thoughts, and feelings that produces high satisfaction and pride, generates psychic and/or financial reward, and presents measurable progress toward excellence. Here are some signs of strengths:

- *Listen for yearnings:* Like an internal magnet, yearnings pull us toward one thing (a strength) instead of another, beginning in early childhood and continuing throughout life. One's life work often begins in yearnings from childhood. Friendly advice can derail us from our strengths when we confuse the advice for a yearning.
- *Watch for satisfactions:* Great emotional and psychic rewards come from activities we "get a kick out of doing." Satisfactions are not fleeting pleasures, but form our intrinsic motivation. Both satisfactions and yearnings cluster around strengths. Competencies and satisfactions don't always align. If it doesn't feel good, it's probably not a strength.
- *Watch for rapid learning:* If you catch on to something quickly, you're probably good at it, and will say, "I feel like I've always known how to do this." A strength is always characterized by initial rapid learning that continues throughout one's lifetime.
- *Glimpses of excellence:* We see signs of strength in glimpses of excellence within a performance, such as singing a song, writing a letter, giving a speech. A performance is a series of "moments" which provide clues to greatness.
- *Total performance for excellence:* The behavior flows and there are no conscious steps in the mind of the performer. The performer is acting on automatic; time has stopped. Total performance is much more than a glimpse-it is the complete extension of an activity. It happens consistently, and is repeatable.

Find Out What You Do Not Do Well and Stop Doing It

Weaknesses can’t change into strengths. We can manage them to make them irrelevant while we develop our strengths. Most weaknesses can’t and don’t need to be corrected any more than a doctor needs to repair an enlarged appendix.... the best thing to do is take swift energy to furthering a strength.

How to Identify Your Weaknesses

A weakness is a pattern of behavior, thoughts, and feelings that produces low satisfaction or pride; drains psychic and financial resources; and presents little or no measurable progress toward excellence no matter how hard we try. Weaknesses reduce productivity or lessen self-esteem. Here are some signs of weaknesses:

- *Feeling defensive about performance:* Individuals functioning on strength show little or no defensive behavior. They meet challenges with a doubling of activity, and progress is the norm, not the exception.
- *Developing obsessive behavior:* When the strengths normally used to pursue talents are concentrated on bolstering whatever we don't do well, we get minimal improvement despite intense focus. In contrast, working on strength, we can measure improvement and have a quick learning curve.
- *Experiencing slow learning:* You just can’t seem to “get it” no matter how hard you try. Slow learning is so significant an indicator of non-strength that it can never be discounted on the assumption that a person will “get it someday.”
- *Not profiting from repeated experience:* Some people plod along. They “get” enough of the activity to be barely functional and then they hang in there, but lack the basic talent for excellence. No matter how hard or often they try, there is no measurable improvement.
- *Consciously thinking through the steps of a process:* In learning new things, we go through the steps consciously. In mastering the skill, talented people find that the steps become automatic quickly. Continuing to think about the steps indicates a weakness.

- *Experiencing a reduction of confidence from performing the activity:* Motivation goes away when we can’t do something well. We lose interest and find excuses to avoid doing it.
- *Lacking futuristic thinking about the activity:* You just want to get this over with. Your task consumes all your energy, and none is left for thinking about the future.
- *Suffering burnout while practicing the activity:* We experience resistance when doing something we’re not good at. “I just can’t do this anymore.” Top producers report that pressure and stress often create more energy and renew motivation.

Strategies For Managing Weakness

Here are some useful ways to minimize the impact of weaknesses:

- *Sloughing:* Stop putting yourself in situations where you’re forced to do something you don’t do well, which depresses or angers you. Holding on to something (activity, relationship) that doesn’t work only perpetuates a weakness that pulls energy away from strengths.
- *Subcontracting:* “Enlightened delegation” moves a task to a person/group with the skills to do it. This frees you from the work, and also the worry and guilt which were byproducts of forcing yourself to do it. Note that this is different from typical delegation where tasks are reassigned without regard for skills.
- *Complementary partnering:* Team up with someone and combine your joint strengths to create a unique capability that could not be done with one person alone.
- *Support systems:* If you wear glasses or use an alarm clock, you're already doing this. Find and use the tools that work best for you to manage your specific weaknesses.
- *Alternatives:* Find different ways to achieve your goals. If you think in pictures, draw your ideas for others, instead of talking about them. Try taking a scenic way home instead of taking the shortest route.

Notes

CHAPTER 4 Employee Recruitment, Selection, and Training

Learning Outcomes

Describe the principles and steps in strategic workforce planning and recruitment.

Identify the criteria for effective job descriptions and performance standards.

Recognize strategies and steps in selecting and hiring.

Overview

Once we look at the supervisor individually and your role within the larger organization, the seminar will then spend two chapters on the practical areas of building and managing a team - hiring, orienting and training employees, supervising the team, and managing job performance through all the types of issues that can arise.

SECTION 1 STRATEGIC RECRUITMENT AND SELECTION

Bottom line, you need the right people to do the job. The recruiting and hiring picture has changed dramatically in the last decade. The internet and competition for good workers are contributing factors to this changing picture. This chapter will explore the planning strategies that will enable your agency to hire the right people for the right jobs in the right way.

Getting the best employees requires:

- Workforce planning
- Specifying roles and jobs
- Recruiting
- Considerations of outsourcing (having services and functions performed by non-employees)
- Screening applicants
- Selecting and hiring new employees
- Training new employees

SECTION 2 WORKFORCE PLANNING

The issue has become not how many people should be employed, but ensuring that all members of staff are making an effective contribution. And for the future, the questions are what are the skills that will be required, and how will they be acquired.

Sometimes the need to acquire and grow skills which take time to develop is paramount. If the agency fails to identify the business demand, both numerically and in the skills required, and secure the appropriate supply, then the capacity of the agency to fulfill its function will be endangered.

The following areas need to be considered and planned:

1. **Determining the numbers to be employed at a new location**

   If agencies overdo the size of their workforce, surplus or underutilized staff will result in high costs. Alternatively, if staff is overstretched, quality performance and outcomes may not be met.

   So the question the PHA needs to ask is how performance can be improved through understanding the connection between productivity, work organization, and technology. What does this mean for staff numbers?

2. **Retaining your highly skilled staff**

   Agencies should monitor the extent of resignations, discover the reasons for it, and establish what it is costing the agency. Comparing the rate of resignations with other housing authorities may be helpful.

   Having understood the nature and extent of resignation, steps can be taken to rectify the situation. These may be relatively cheap and simple solutions once the reasons for the departure of employees have been identified. But it will depend on whether the problem is peculiar to your own agency, and whether it is concentrated in particular groups (e.g. by age, gender, grade or skill).

3. **Where will the next generation of managers come from?**

   It is often difficult and expensive to replace lost quality and experience. Many senior managers are troubled by the issue of succession. To address succession, planners need to understand the agency's present patterns of promotion and movement, the characteristics of those who currently occupy senior positions, and the agency's future supply of talent.

   This then can be compared with future requirements, in number and type. Appropriate strategies can be pursued to meet business needs.

SECTION 3 SPECIFYING ROLES AND JOBS

In addition to management and leadership skills, you create a spirit of excellence and a clear sense of purpose through comprehensive job descriptions, performance standards, performance monitoring, and correction or calibration when needed.

Developing Job Descriptions

A good job description is built on thorough knowledge of the:

- Duties and tasks to be performed including things like the frequency, duration, effort, skill, and complexity of each
- Knowledge, skills, and abilities required to perform the job
- Supervision given and received
- Relationships with internal or external people
- Tools and equipment required
- Work environment: any unusual conditions including elements of risk

Each staff position needs a current job description that specifies the title, any required special skills, training or credentials, general responsibilities, and specific duties.

Thorough job descriptions also include:

- Which job activities are essential and which are non-essential, to whom the position reports, salary range and rate, and whether the position is full-time or part-time, exempt or non-exempt.

Benefits of writing thorough job descriptions include clearer expectations in performance, planning, compensation, and peace of mind…for the employee and the supervisor.

A job description is primarily and "simply" a list of responsibilities and activities that are required in a particular position. Each responsibility starts with a verb that describes the activity. Some examples of the more commonly used verbs are:

> Analyzes, approves, authorizes, conducts, controls, coordinates, develops, evaluates, expedites inputs, maintains, operates, performs, plans, recommends, schedules, supervises, trains, and verifies.

Each job description must be updated as the job changes. The following are samples of job descriptions for two types of positions: property manager in public housing, and housing choice voucher director.

Job Description from XXX County HRA

Band	Grade	Subgrade	Working Conditions	Dept/Section	Job No.
				Section 8	

Job Title Director of Section 8 Housing

Title of Immediate Supervisor Executive Director

Job Summary Direct the administration and management of all Section 8 Housing Programs

Task No. ______ Illustrative Tasks	Frequency	Band/ Grade
1. Further the development and implementation of the Section 8 programs. • Ensure program compliance with federal regulations. • Request notifications of funding availability. • Develop annual department plan, to include leasing schedules. • Analyze rent assistance needs for county to determine amount and type of application to submit.	10%/Day	
2. Formulate Department policies, implement Department procedures and evaluate outcomes for all Section 8 programs. • Develop and modify Administrative Plan and Admissions. • Develop and implement programmatic procedures. • Ensure that all department policies and procedures are consistently applied by all staff members. • Ensure all department staff receive and understand all laws, regulations, policy guides, current procedures and special instructions applicable to their areas of responsibility. • Ensure leasing schedules are met by monitoring Voucher issuance, ineligible or disinterested applicants, and attrition. • Ensure that all units under contract meet the Housing Quality Standards and other related inspection requirements set by HUD. • Develop and modify payment standards for the Housing Voucher Program. • Develop, review, and monitor utility allowance schedules for the HCV program • Execute all Housing Assistance Payment contracts. • Meet regularly with the Program Specialist supervising inspections to review Housing Quality Standards procedures and problems, and to provide policy guidance. • Assist with occupancy activities as necessary. • Meet regularly with the Program Specialist supervising inspections to review Housing Quality Standards procedures and problems, and to provide policy guidance.	30%/Day	

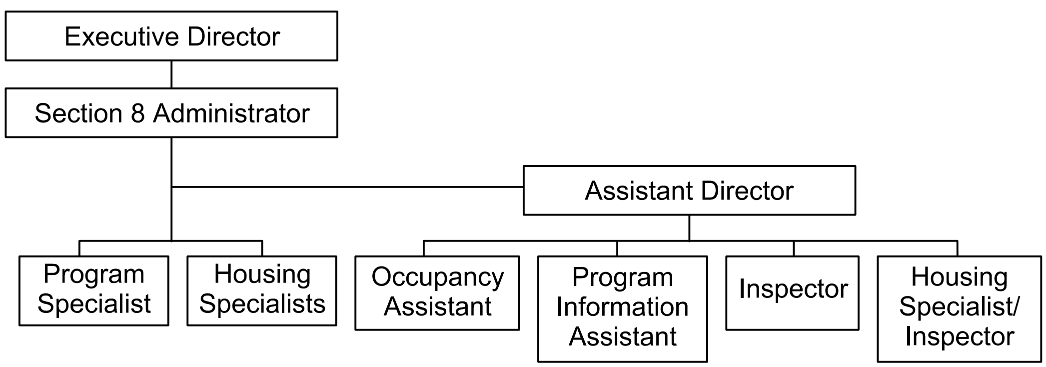
Task No. ____________ Illustrative Tasks	Frequency	Band/ Grade
• Meet regularly with the Program Specialist supervising the Occupancy Assistant, Program Information Clerk and Data Maintenance Clerk to review procedures and problems and to provide guidance. • Ensure that grievance procedures for tenants and owners are properly followed. • Review all aspects of Section 8 Program functions and advise the Executive Director regarding changes and modifications.		
3. Supervise Section 8 Department personnel. • Determine staffing needs, training needs, merit pay increases, and organizational structure. • Confer with staff regarding workload status; ensure adequate staff coverage. • Interview and hire needed staff. • Train staff in department/agency procedures. • Conduct performance evaluations. • Review, revise, and develop job descriptions with employee involvement. • Approve time sheets, mileage claims, purchase orders, and check requests. • Develop employee work schedules and monitor compliance with work scheduled. • Ensure that random review of logs, control systems, and tenant files are conducted. • Determine disciplinary actions, merit pay increases, promotions, demotions, and termination as necessary. • Conduct regular staff meeting.	40%/Day	
4. Ensure the accurate and timely preparation of all reports, correspondence, studies, and proposals. • Prepare department monthly Commissioner reports, resolutions, department executive summaries, and statistical reports. • Prepare correspondence, reports, and applications for submission to the Department of Housing and Urban Development. • Ensure that market studies are conducted and utilized as required. • Ensure the ongoing compilation of data and the preparation of annual revisions to the Section 8 Utility Allowance Schedules and market studies. • Ensure the preparation of internal department reports. • Advise the Data Analyst in the preparation and submission of Section 8 program reporting, data collection, etc.	5%/Month	

Task No. ______________ Illustrative Tasks	Frequency	Band/ Grade
5. Develop Annual Department Plan and administrative/Programmatic budget for all Section 8 programs. • Provide Controller with current leasing schedules, payment standards and other information needed to prepare financial reports, submissions, and documents. • Meet with Controller with current leasing schedules, payment standards and other information needed to prepare financial reports, submissions, and documents. • Analyze revenue and expense information for future internal budget determinations. • Analyze the rental housing market, Voucher Program subsidy levels, and portability and collaborate with the Controller on recommendations to the Board of Commissioners on Payment Standard levels.	5%/Month	
6. Implement and monitor computer software programs for various Section 8 applications within the department. • Evaluate available Section 8 software for appropriateness in use in administration and the feasibility of software packages. • Communication with software vendors regarding technical implementation, updating, and ongoing use. • Oversee training of department staff in use of computer and software programs. • Review effectiveness of computer software programs in meeting department goals. Assess and determine necessary changes and enhancements.	5%/Month	
7. Perform public relations activities for the Section 8 Department. • Develop and maintain good working relationship with officials from the Department of Housing and Urban Development, City/County personnel, management staff from other Housing authorities, and Human Service agencies, etc. • Attend and represent the HRA at meetings, including Economic self-sufficiency council, and Community Housing Resource Board meetings. • Handle calls or visits as necessary from irate clientele in a professional manner to diffuse the issue/conflict. Direct follow-up by the appropriate staff. • Arrange for owner conferences as necessary, with minimum of one per year, to impart current program regulations, changes to program regulations, and general information as necessary to participating owners/managers of rental property. • Arrange for the Marketing of the Section 8 programs to prospective rental property owners. • Accept requests to speak to various groups of individuals regarding the Section 8 programs.	5%/Month	

Qualifications

- Specific training or job experience required before appointment.
- Knowledge of personnel development, selection, direction, and supervision.
- Knowledge of administrative practices, policies, and procedures.
- Knowledge of Minnesota Landlord/Tenant Statutes and Data Privacy Laws.
- Knowledge of Section 8 regulations and policies. Knowledge of other assisted housing programs.
- Knowledge of federal legislative process and organizational structure of Department of Housing and Urban Development.
- Knowledge of other agency program policies and procedures.
- Knowledge of computer software, hardware, and multi-user network system.
- Ability to make independent decisions which have a high degree of financial and/or legal consequence and which involve a high degree of technical complexity.
- Ability to motivate teamwork between individuals in the Section 8 department. Ability to delegate and accept responsibility and authority. Ability to communicate both orally an in writing. Ability to resolve conflicts and negotiate. Ability to effectively organize and systemize department procedures.
- Ability to initiate work projects and make independent decisions. Ability to work with city, county, and federal personnel.
- Ability to make analytical assessments. Ability to interpret and apply federal regulations.

Organization Relationship



Working Conditions

Assigned tasks are generally carried out while seated at a desk in an office environment.

PROPERTY MANAGER Job Description with Performance Standards	
Scope and Purpose	
Under the direction of the asset manager, the property manager is responsible for the business management and performance of the project and supervision of on-site staff, including maintenance.	
Duties and Responsibilities	**Standards**
Property Management	
Maintain full occupancy	Maintain project at 98% occupancy rate Prepare and submit occupancy reports
Supervise on-site staff, including maintenance staff	Check QC items monthly for quality and quality of work performance (see QC schedule) Maintain QC reports monthly and submit to asset manager by the 5th of each month following the QC
Financial Management	
Collect rents	Enforce lease to maintain an average 98% rent collection rate Follow up on delinquent accounts and pursue collections
Collect other receivables	Follow up on delinquent accounts and pursue collections Begin lease termination for noncompliance
Monitor financial performance of project	Prepare budget and monitor actual-to-budget Monitor expenses to ensure spending is within budget
Submit recommendations to maintain and achieve financial viability of the project	Project audit confirms excess cash Project maintains a Current Ratio of at least 2:1 Project maintains MENAR of at least 3 months
Procure goods and services for project	Issue purchase orders and track purchases from orders through invoices, process invoices for correctness, accuracy, and proper coding, participate in sealed bidding process per PHA procurement policy. Purchase up to $3,000 with one reasonable quote, obtain signed approval from asset manager over $3,000. Ensure funds are in budget for any expenditures
Monitor project contracts	Introduce contractor to SOW at project, monitor quality and quantity of work, sign off on performance-based documentation
Maintain and reconcile project's petty cash fund	Authorize any disbursement of cash and forward all receipts to central accounting

PROPERTY MANAGER Job Description with Performance Standards	
Manage Site-Based Waiting List	
Establish pre-application processes	Accept and process applications from all interested parties Forward information to central unit for statutory screening If application passes screening, enter application into software for waiting list preference(s), type of project, size of unit, and accessibility feature, if any
Make preliminary determination of eligibility	Notify applicant of preliminary determination of eligibility Notify applicant of preliminary determination of ineligibility, and conduct reviews upon request of appeal
Process files to assure 98% occupancy	Pull at least 40 files for every vacant unit anticipated in the upcoming 120 days Notify applicant of interview and documentation required Conduct eligibility interview Ensure that family members sign proper consent forms and complete full application Obtain third-party documentation and family-provided documents Verify citizen/noncitizen status for each family member Contact present and prior landlord to check rental history
Notify family of final eligibility status, including suitability	Notify family of denial of admission, with opportunity to dispute; conduct administrative reviews and write decision within time frame stated in PHA grievance procedures Notify family of approval
Make unit offers according to TSAP	Ensure that unit offers are made according to TSAP, documenting each offer made, reason(s) for rejection, and offers not counted for undue hardship (in TSAP) Offer unit every four days until offer accepted
Oversee turnaround time	Maintain average make-ready of no more than 6 days Maintain average lease-up of no more than 7 days
Marketing	
Advertise and promote project	Adhere to affirmative fair housing marketing procedures to advertise, as needed, on the internet, post signs, and design incentives and events to achieve 98% occupancy Speak at public and community events to promote project
Market units to prospective applicants and tenants	Budget appropriately for general appearance and curb appeal improvement as needed. Hold open house and after-hours events to show units.

PROPERTY MANAGER Job Description with Performance Standards	
Familiarize potential tenants with neighborhood	At least annually, canvas 8 square blocks surrounding the project to become familiar with public transportation, schools, youth and recreational activities, education and training resources, and volunteer opportunities
Make recommendations for capital improvements, incentives, and additional amenities to attract applicants	Work with capital fund director and asset director to maximize efforts to achieve full lease-up and attract higher income families.
Tenancy	
Execute lease with family	Show family site, common areas and unit Orient family to immediate neighborhood Educate family on all provisions of the lease Provide family with "Welcome to Public Housing" brochure Refer family, upon request, other resources (e.g., FSS coordinator, 504 coordinator, VAWA or LEP partners)
Enforce lease	Maintain tenant files and related documentation for lease enforcement Send/post all notices regarding compliance to residents when a violation occurs Assess, recommend, and/or initiate lease termination actions Preside over lease termination conferences and prepare written decisions, and present PHA's case in fair hearings and in court settings
Prepare and submit occupancy reports	By the 5th of each month for the previous month, submit: Waiting list and waiting list processing report Vacancy report and unit turnaround report Lease violation report Project events report Law enforcement incident report Annual reexamination report and QC tenant file report Reasonable accommodation request report

PROPERTY MANAGER Job Description with Performance Standards	
Supervision	
Participate in pre-employment interviews	Make hiring recommendations and decisions
Supervise all on-site staff	Interpret and apply personnel policies, PHA code of ethics, program policies, and other relevant policies and procedures Review time and leave requests and reports for staff Prepare and conduct performance evaluations, and counsel employees regarding job performance and document in accordance with personnel policies Train and oversee training for site staff Delegate, monitor, and follow up on assigned tasks Recommend, institute, and/or conduct disciplinary action, when appropriate, in consultation with human resources
Supervise maintenance mechanic and maintenance technicians	Oversee all work associated with maintenance of the site, common areas, building exteriors, building systems, and units to achieve at least a 90% physical inspection score Develop maintenance plan in coordination with asset manager, capital fund director, and on-site maintenance staff Dispatch maintenance staff upon request for repair, prioritizing as per maintenance plan, schedules, and nature of repair Oversee annual UPCS inspections, housekeeping, and move-in and move-out inspections Ensure that responsible staff is available at all times for emergency calls Ensure that all tools and supplies are secured
Oversee administrative site staff	Oversee annual and interim reexamination process to ensure a 98% PIC reporting rate Conduct monthly QC of at least 4 files for each employee who conducts annual and interim reexaminations From source documents (EIV, third-party, and family-provided), calculate annual income, adjusted income, and TTP to ensure accuracy Track error rate of all employees, and train and mentor to improve accuracy Submit QC report monthly to asset manager Train and coach all site staff in customer service and tenant relations best practices

PROPERTY MANAGER Job Description with Performance Standards	
General Repair and Maintenance	
Achieve and maintain a 90% PASS score under PHAS.	Maintain records of status of units and monitor preparation of all vacant units to insure that all vacant units are ready for occupancy (make-ready) within an average of 5 days of move-out Oversee, coordinate, and follow up work order system to insure that 100% of all emergency work orders are completed/abated within 24 hours, that nonemergency work orders or completed within 10 calendar days, and that tenant-generated work orders are completed within an average of 3 days Ensure that items under warranty are immediately reported to the appropriate maintenance companies, and follow up for prompt repair Post charges associated with work orders by entering into computer and generating notices to residents Preside over disputes concerning tenant maintenance charges
Coordinate with capital fund director	Make recommendations for long-range capital improvements Understand capital plan for project and coordinate with residents

PROPERTY MANAGER Job Description with Performance Standards	
Security	
Ensure security so that crime rate at the project is equal to or less than the immediate surrounding neighborhood	Communicate daily with maintenance regarding potential lease violations (unauthorized persons, evidence of illegal activity, etc.) Work closely with local law enforcement liaison to report any suspicious incident at the project, and receive and analyze monthly report from local law enforcement liaison Ensure that community-based policing holds an event on premises at least quarterly Work closely with youth and advocacy groups to prevent and deter crime Ensure that community space is being fully utilized for resident activities Actively engage resident organization in anti-drug and anti-crime strategies for the project Develop monthly newsletter and include a safety column at least quarterly Promptly move to enforce lease when there is evidence of crime activity in unit or on or off premises, per HUD regulations and PHA policy Promptly move to terminate lease when there is a preponderance of evidence to demonstrate drug or crime-related activity Work with asset manager and legal counsel, when appropriate, to determine eviction proceedings

PROPERTY MANAGER
Job Description
with Performance Standards

Resident Relations and Economic Self-Sufficiency	
Coordinate, facilitate, and collaborate with community-based agencies to bridge tenants to resources to achieve economic stability and self-sufficiency	Maintain communication with advocacy groups, including VAWA and LEP resources, for referral Outreach to community agencies for utilization of community room Maintain a brochure of volunteer opportunities in the neighborhood and in the city Attend resident events and activities to celebrate accomplishments
Maintain liaison with FSS and other service coordinators	Assist FSS coordinator with questions of lease compliance, tenant rent, and other FSS determinations Assist FSS and other service coordinators with resident activities, to address specific problems, plan meetings, and develop support activities.
Offer at least three opportunities for residents to be involved in the administration of the project	Support resident council activities at project through MoU contributions Hold resident meeting one evening per month at the project, with agenda prepared and distributed 5 days in advance
Write and publish newsletter monthly	Include a resident column highlighting resident activities
Problem-solve resident conflicts and complaints concerning PHA actions or failure to act to avoid grievances if possible	Return resident calls within 24 hours Walk the site at least 2-3 times per week Remain generally accessible to residents

Required Skills Sets for Income and Rent Determination Staff

Program-Related Skill Set

1. Knowledge of program requirements and guidance as reflected in HUD regulations, handbooks, notices, forms, and guides.

2. Knowledge of PHA-established policies and procedures.

3. The ability to apply HUD and PHA-established policies and procedures to consistently produce on-time and accurate income, rent and subsidy calculations.

   - Understanding of the definition of *annual income* and the ability to recognize sources of income that should and should not be included in annual income. Sufficient knowledge of various types of assets to determine income from assets.
   - Knowledge of the required and permitted deductions from annual income used to compute adjusted income and the ability to recognize family circumstances that qualify families for the deductions.
   - Knowledge of the definitions of household types and the effect that household type has on rent determinations. The ability to analyze household composition sufficiently to apply these definitions.
   - Knowledge of how utility allowances are established and used in rent calculations and the ability to select the appropriate utility allowance for each family.
   - Knowledge of verification requirements and the ability to determine which verifications are required. Sufficient judgment to determine when alternative sources of verification are appropriate.
   - Knowledge of HUD and PHA requirements regarding when interim reexaminations are required and permitted.
   - Ability to complete HUD-50058 entries correctly, including identifying and correctly using transaction codes.
   - The ability to consistently produce on-time and error-free rent and subsidy calculations.
   - For HCV:
     - Knowledge of how payment standards are established and used in rent determinations and the ability to select the correct payment standard to use in each rent calculation.
     - Knowledge of the formula for determining total tenant payment (TTP) and HCV subsidy and the ability to correctly use the formula in rent calculations.
   - For PH:
     - Knowledge of the methods for determining rent and the ability to explain family options.

4. Knowledge of non-program federal requirements that affect income and rent determinations, including fair housing and equal opportunity, fraud and program abuse, personnel and employment practices.

5. Knowledge of HUD-established performance standards (for HCV, SEMAP indicators) and PHA-established performance standards as they relate to income and rent determinations.

Specialized Workplace Skill Set

1. Interviewing: The ability to follow a protocol for collecting technical and highly personal information and to ask probing and clarifying questions as needed.
2. Public speaking (if the employee handles briefings and/or group interviews): The ability to express complex ideas concisely and effectively and to respond accurately and clearly to questions and comments.
3. Communications: The ability to explain complex concepts and calculations simply and clearly to program applicants, participants/residents (and HCV landlords).
4. Analysis: The ability to understand and evaluate verification documents (e.g., pay stubs, insurance contracts, banking and investment documents) in order to apply program rules correctly.
5. Judgment: The ability to make sound judgments when required by program rules (e.g., reasonableness determinations for child care and feasibility determinations for getting third-party verifications).

Basic Workplace Skill Set

1. Computer literacy, including personal computing, accuracy in data entry, and knowledge of program-related software.
2. Communication, including basic reading, writing, listening, and speaking skills.
3. Basic arithmetic skills, including addition, subtraction, multiplication, division, proration, estimation, and percentages.
4. Analysis and problem solving: The ability to recognize problems, analyze causes, and propose solutions.
5. Personal management, including time management, interpersonal skills, integrity, ethics.
6. Knowledge of workplace rules and requirements (e.g., worker safety, sexual harassment).

Supervisory Skill Set (Supervisors and Managers of the Income and Rent Function)

Note: Front-line supervisors require the skills sets identified above for rent specialists as well as the following skill sets.

1. Planning/workload management: The ability to evaluate workloads, project resource requirements, set priorities, and develop realistic implementation plans.
2. Conflict resolution: Knowledge of conflict resolution principles and the ability to apply them in the workplace.
3. Human resource management: Knowledge of federal, state, local, and PHA practices related to employment and human resource management.
4. Program development: The ability to participate in the development of program policies and procedures and to assess their effectiveness.

Performance Standards

Once good job descriptions have been developed, many high performing agencies then develop what are known as performance standards, which are written statements describing ***how well*** a job should be performed.

Performance standards provide a benchmark against which to evaluate work performance. While the job description describes the essential functions and the tasks to be done, the performance standard defines how well each function or task must be performed in order to meet or exceed expectations.

Performance standards are usually developed in collaboration with the employees who do the tasks or functions, and are explained to new employees within the first month on the job.

- Standards are written in clear language, describing the specific behaviors and actions required for work performance to meet, exceed or fail to meet expectations.

Written performance standards may also be developed for general categories to be evaluated, such as teamwork and collaboration, leadership, customer service, etc.

Example Performance Standards

Example 1: Simple descriptions of general expectation

Task Description: Track voucher lease-up rate.

Task Description: Fill public housing units.

Example 2: Simple descriptions of specific expectations

Task Description: Track voucher lease-up rate.
Standard: Submit voucher lease-up report monthly to the executive director on the 5th working day of the month for the previous month.

Task Description: Fill public housing units.
Standard: Market public housing units, make units ready, process applications, and make unit offers in the correct order.

Example 3: Descriptions of specific expectations and success indicators

Task Description: Track voucher lease-up rate.
Standard: Track voucher lease-up rate to achieve, at the end of the fiscal year, full budget utilization without exceeding authorized number of units.

Task Description: Fill public housing units.
Standard: Ensure a 98% overall occupancy rate and an average turnaround time of no more than 10 days.

Example 4: Descriptions of specific expectations, success indicators, and conditions

Task Description: Track voucher lease-up rate.
Standard: Track voucher lease-up rate to achieve, at the end of the fiscal year, full budget utilization without exceeding authorized number of units. If program is over-leased, develop plan for attrition and nonissuance of vouchers before rescinding vouchers. If program is under-leased, plan for landlord outreach and accelerated waiting list processing.

Task Description: Fill public housing units.
Standard: Ensure a 98% occupancy rate, adjusted for HUD-exempt days, and an average adjusted turnaround time of no more than 10 days, assuming each site has a make-ready time of no more than 7 days and a lease-up time of no more than 5 days.

When performance standards are in place, employees know what is expected of them in their performance of essential duties. This understanding provides the basis for performance evaluations and ongoing feedback and performance.

SECTION 4 RECRUITING EMPLOYEES

Plan the Recruitment

As a supervisor or manager, you will typically work with HR in the recruitment process. Recruitment materials should be written with careful consideration of the job description and performance standards for the position being filled.

One of the first considerations, for which you may or may not be asked for your input, is whether the position will be an in-house recruitment or open recruitment. This is an important consideration—growing and mentoring employees to step up to more responsibility and leadership builds morale and a stable environment. However, sometimes new expertise, innovation, and fresh vision is the right choice for a particular opening. Often, agencies open the recruitment, and employees are carefully considered along with outside applicants. The recruitment process needs to be well thought out, fair, and communicated throughout the agency.

In the materials, include the job title, general responsibilities, minimum skills and/or education, required compensation (optional), to whom they should send a resume or where they can fill out an application, and the date that the agency will stop taking new applications.

Recruitment Methods

Recruitment methods should include at least some of the following:

- Advertisements in local papers, including minority and non-English-speaking papers.
- Internet job sites. Posting job descriptions on the internet is becoming an increasingly popular method of recruiting employees. These job sites also feature current resumes of people searching for jobs.
- College placement centers.
- Industry journals. Many housing advocacy groups accept recruitment announcements from housing authorities.

Advertise the Position

Decide, with your HR representative, on a period of time you will accept applications or resumes. Advertise the open and close dates for applications and state that you will not accept any applications or resumes after that date without formal notice to all applicants.

Encourage current employees to apply for the job, whether or not internal candidates would be leaving another job in the organization.

SECTION 5 CONSIDERATIONS OF OUTSOURCING

Outsourcing for certain services has become a consideration in public housing, where day-to-day property management functions are generally handled on-site (rents, reexaminations, work orders, etc.). Maintenance personnel are multi-skilled (generalists), and the level of on-site staff is designed to meet normal (non-peak) workloads. Therefore, some property managers have the ability to procure services when they need to contract for increased make-readies. In addition, services are often contracted for specialized or non-routine work (elevator maintenance, trash removal, evictions, etc.)

The consideration whether to outsource a particular service or function should always include quality, cost, and timeliness.

SECTION 6 SCREENING AND INTERVIEWING APPLICANTS

Receive Applications and Resumes

The HR representative may be the contact to receive all applications or resumes, to ensure that these are recorded and sorted according to the qualifications and experience sought. The agency may have a policy to respond within a certain period of time to all applicants.

Any communication with the applicant between the time of the announcement and the job offer is best restricted to information that is included in the job announcement or other public record materials and would therefore be available to all applicants.

Screen Applications and Resumes

You may be called upon to assist your manager or HR representative in screening applicants, using both the job description and performance standards for the position. Note for each applicant the past demonstrated experience they have that indicates they possess the skill and ability to succeed in this new job.

Your HR department may have a system to rank applicants, such as a chart noting the skills and performance standards for the position with an area to note each applicant's experience in each area. Actual demonstrated experience, qualifications, and education, among other factors, may be rated or scored. Placing this information in a database helps to sort it by applicant and gives an objective overview of the candidates.

Interviewing Applicants

An interview format should be developed well before the scheduled interviews. HR should have a method to evaluate each applicant's skill and ability. These methods might include a combination of the following:

- Responses to verbal questions with interviewers
- Testing in key performance areas
- Written responses to written questions
- Review of applicants portfolio documents
- Assessment centers with a range of activities and evaluators

Schedule interviews with all (or a previously specified number) candidates that meet the minimum qualifications that were detailed in the job description. This practice helps to make sure that you're not excluding candidates due to unfair biases.

Interviewing Questions

A written format for each interviewer to use in asking questions and ranking responses is essential for fairness, consistency, and a way to assess and rank.

At the opening of the interview, introduce yourself and make sure all other interviewers introduce themselves. Briefly describe the position and the organization.

While interviewing candidates, always apply the same questions to all candidates to ensure fairness.

- Let the interviewee know that you have a list of questions, and that you will be taking notes.
- All questions must be in regard to performing the duties of the job. Never ask questions about race, nationality, religion, age, gender, disabilities (current or previous), marital status, spouses, children and their care, criminal records or credit records.

Ask open-ended questions – avoid "yes-no" questions. Ask some challenging, open-ended questions, such as "What skills do you bring to this job?", "What concerns do you have about filling this role?", "What was your biggest challenge in a past job and how did you meet it?"

Talk for 25% of the time – listen for 75% of the time.

Interview Questions

Applicant Name:

Interviewed By:

Date:

Start Time:

End Time:

Possible Positions:

1. Have you ever worked for a public service agency?

2. What made you decide to apply for this type of job?

3. Tell me about your last/current job.

4. What would your previous employer(s) say about your dependability and attendance?

5. What can your skills bring to our team?

6. What do you consider yourself best at?

7. In what areas would you most like to improve professionally?

8. Do you prefer working as a part of a team or as an individual?

9. Give an example from your past work experience when you accomplished something exceptional. How did you do that?

10. Give an example of how you have demonstrated good customer service skills?

11. What are the most valuable lessons that you learned at your current/former employment?

12. Has your work ever been criticized? How? How did you handle it?

13. What types of tasks do you least like to perform?

14. Do you have any specific goals set for yourself? Describe them.

Acceptable and Unacceptable Interview Questions

	Acceptable	Unacceptable
Name	• Have you ever used another name? • Is any additional information relative to change of name, use of an assumed name, or nickname necessary to establish a check on your work and education record? If yes, please explain.	• Maiden Name
Residence	• Place of residence	• "Do you own your own home?"
Age	• Statement that hire is subject to verification that applicant meets legal age requirements • "If hired, can you show proof of age?" • "Are you over eighteen years of age?" • "If under eighteen, can you, after employment, submit a work permit?"	• Age • Birth date • Dates or attendance or completion of elementary or high school • Questions that tend to identify applicants over 40
Birthplace, citizenship	• "Can you, after employment, submit verification of your legal right to work in the United States? • Statement that such proof may be required after employment	• Birthplace of applicant, applicant's parents, spouse, or other relatives • "Are you a U.S. citizen?" • Citizenship of applicant, applicant's parents, spouse or other relatives • Requirement that applicant produce naturalization, first papers, or alien card *prior to employment*
National origin	• Languages applicant reads, speaks, or writes, if use of a language other than English is relevant to the job for which the applicant is applying	• Questions as to nationality, ancestry, national origin, descent, or parentage of applicant, applicant's parents, or spouse • "What is your mother tongue? Or "What language do you commonly use?" • How applicant learned to read, write, or speak a foreign language

	Acceptable	Unacceptable
Sex, marital status, family	• Name and address of parent or guardian, if applicant is a minor • Statement of company policy regarding work assignment of employees who are related	• Questions that indicate applicant's sex • Questions that indicate applicant's marital status • Number or ages of children or dependents • Provisions for child care • Questions regarding pregnancy, child bearing, or birth control • Name or address of relative, spouse, or children of adult applicant • "With whom do you live?" • "Do you live with your parents?
Race, color		• Questions as to applicant's race or color • Questions regarding applicant's complexion or color of skin, eyes, or hair.
Physical description **Photograph**	• Statement that photograph may be required after employment	• Questions as to an applicant's height and weight • Require an applicant to attach a photograph to the application • Request an applicant, at their option, to submit a photograph • Require a photograph after interview but before employment
Physical description **Handicap**	• Statement by employer that an offer may be contingent on applicant passing a job-related physical examination • "Do you have any physical condition that may limit your ability to perform the job applied for?" • "If yes, what can be done to accommodate your limitation?"	• Questions regarding applicant's general medical condition, state of health, or illnesses • Questions regarding receipt of worker's compensation • "Do you have any physical disabilities or handicaps?"

	Acceptable	Unacceptable
Religion	• Statement by employer of regular days, hours, or shifts to be worked	• Questions regarding applicant's religion • Religious days observed • “Does your religion prevent you from working weekends or holidays?”
Arrest, criminal record	• Have you ever been convicted of a felony? Such a question must be accompanied by a statement that a conviction will not necessarily disqualify an applicant from employment	• Arrest record • “Have you ever been arrested?”
Bonding	• Statement that bonding is a condition of hire	• Questions regarding refusal or cancellation of bonding
Military service	• Questions regarding relevant skills acquired during applicant's US military service	• General questions regarding military service, such as dates and type of discharge • Questions regarding service in a foreign military
Economic status		• Questions regarding applicant's current or past assets, liabilities, or credit rating, including bankruptcy or garnishment
Organizations, activities	• “Please list job-related organizations, clubs, professional societies, or other associations you belong to. You may omit those that indicate your race, religious creed, color, national origin, ancestry, sex, or age.”	• “List all organizations, clubs, societies, or lodges you belong to.”
References	• “By whom were you referred for a position here?” • Names of persons willing to provide professional or character references for applicant	• Questions of applicant's former employers or acquaintances that elicit information indicating the applicant's race, color, religious creed, national origin, ancestry, physical handicap, medical condition, marital status, age, or sex
Name in case of emergency	• Name and address of person to be notified in case of accident or emergency	• Name and address of relative to be notified in case of accident or emergency

SECTION 7 SELECTING AND HIRING NEW EMPLOYEES

Selecting Candidates

The applicant's existing skills and abilities will be prioritized or ranked. Select the highest ranking applicant who possesses all or most of the desired skills, abilities and competencies.

This is not as easy as it might seem for several reasons:

- Several candidates may be very close in skill and competence
- No one candidate is suited for the position
- The process didn't give the information needed to make a decision.

If there does not seem to be a suitable candidate, consider the following causes:

- The job requirements are too stringent
- The job has an unusual blend of duties
  - For example, the job might require someone with strong technical skills and strong community relations and interpersonal skills. While this combination of skills is certainly present in many people, an equally strong skill set in both these areas may be difficult to find.
- The recruitment didn't reach the right people
- The compensation is insufficient for the position
- The organization doesn't foster new additions

If any of these circumstances apply, you, in collaboration with your manager and HR, could consider:

- Reconfiguring the job so that required skills and training are somewhat similar and the position becomes more standard.
- Conducting a salary study to determine the usual wages for comparable positions in the community.
- Hiring on a contracted basis for a certain period of time.

If the interviewing process does identify reasonable candidates but each of these declines the job offer, go back to these candidates and ask "Why?" You are likely to hear the same concerns:

- Pay is too low
- Benefits incomplete
- Agency seems confused about what it wants from the position
- Interview process seemed aggressive or argumentative

In this case, it might be a good idea to re-contact the best candidates and offer to correct the problem, if possible.

Making Job Offers

While employment and fair practices laws govern other and earlier parts of the hiring process, the job offer is the first direct, legal exchange between the agency and the candidate.

Make certain that your agency is prepared to make what might be a binding offer. Consider the following:

- What is the position offered?
- What duties and responsibilities are required?
- What is the compensation and is it firm?
- What are the benefits and are these firm?
- What, if any, are the probationary periods and the consequences of failure to perform during that period?
- When is the start date and is it firm?

Whenever possible, make the job offer verbally and, if the offer is accepted, follow immediately with a written offer stating exactly the same terms.

Include a copy of the job description.

Ask the applicant to sign a copy of the offer letter and return it to the organization.

Documentation

The documentation needed for hiring employees begins with the organization's job analysis and job description process but the "individual" documentation begins with that person's application, any communication during the application process, the interview and the job offer. Your HR representative should advise you of your role in obtaining documentation.

Start a File

In most agencies, the HR representative's responsibility is to establish a personnel file for your new employee. Your agency's employment files may also be electronic so long as these are secure from non-authorized personnel. Depending on your agency's policy, you may also keep a file at your desk, in a secure place, for all the employees you supervise. This file is not the official personnel file. It should include appropriate QC reports or reports and records related directly to the data and content of each employee's job. Consult with your HR representative whether you keep records of training and any test results, or if that belongs in the official personnel file only.

All official records of employment, such as requests for leave, copies of the annual performance review, and important communication should be filed in the employee's personnel file. High performing agencies know to have only one official employment file for each employee. It's important to remember that only appropriate material should be kept in these files.

SECTION 8 TRAINING NEW EMPLOYEES

Training can make the difference between an adequate employee and a good employee or a non-performing employee and employee who is a vital resource to the team. However, in many organizations the most common type of employee training is “on-the-job training” This may not be enough to accomplish the goals of the organization.

Effective supervisors understand the full range of training opportunities available to them and are able to use the appropriate type to meet the team's goals.

Conducting Orientations, Initial and Ongoing Training

Orientations

As a best practice, new employee orientations are done by the human resource representative and the new employee's supervisor. The employee is often given an orientation checklist and a brochure that summarizes the important information covered in the presentation. In each orientation explain the:

- Goals of the organization and the department
- Goals of the department
- Organization’s policies and procedures
- New employee training plan
- Key staff and departments

Provide them copies of important documents:

- Job description
- Organization chart
- The strategic plan
- The department’s plan
- The program description for their program
- Last year’s final report for the organization, department, and program
- This year’s budget for the organization, department, and program
- The employee’s policies and procedure

Show them the facilities. Include:

- Layout of offices
- Bathrooms, storage areas, kitchen use
- Copy and fax systems
- Computer configuration and procedures
- Telephone usage
- Any procedures for use of office systems
- Keys and entry codes if needed
- Time-recording system
- Review any policies and/or procedures about use of facilities.

Have them sign a form indicating they have reviewed the manual and will comply with its contents.

You may also want to:

- Assign an employee to them as their "buddy" who is available to answer questions.
- Take them to lunch on the first day and invite other employees along.
- Meet with them at the end of the day to hear any questions or comments.
- Remind them to review the employee manual.

Initial Training

Planning and implementing a new employee's initial training is an effort that will give high rewards as the employee matures with the organization. That initial training is based on a comparison of the goals for the position, the competencies required in the job, and the new employee's current competencies.

Meet with the new employee during the first few days of their employment to review the job description again as well as any specific goals from the strategic plan for their position.

Explain the agency's performance review procedure and give them a copy of the performance review document and the performance standards for their position.

Identify any initial training that is needed to perform. These may include specialized topic trainings in their area of expertise, specific procedures for documentation and reporting on work efforts, or computer training like use of passwords and overviews of software.

It might be a good idea to conduct one-on-one meetings on a weekly basis with new employee for first six weeks or so. Discuss the new employee's transition into the organization: get status on work activities; discuss any pending issues or needs; and establish a working relationship as their supervisor.

On-the-Job-Training (OJT)

Probably the most common form of initial training is on-the-job-training. In OJT an expert on the subject matter or skill tells the employee how to do something, the employee tries it, the expert watches, gives feedback, and the employee tries it until he or she gets it right.

On-the-job training works best in tasks or jobs that include straightforward procedures or routines. As jobs and roles become more complex, employees often require more formal training.

Ongoing Training

Ongoing training can be used to ensure an employee's skill, their growth, or an opportunity is used to the best advantage of the employee or the agency. The need for ongoing training may be identified when hiring a new employee, conducting initial training, completing employee performance management, or offering career planning.

- **Skill Training** is identified either when hiring or training a new employee or when an existing employee is completing a performance review. The employee's current competency and skills are compared to those needed to accomplish the goals in the position. A plan is developed to increase the skills and abilities of the employee in specific areas.
- **Growth Training** is identified during career development. Employees perceive certain areas of knowledge and skills that they would like to accomplish in order to qualify for certain future roles and positions.
- **Opportunity Training** is identified when an opportunity arises for the employee. If the employee is interested in taking advantage of the opportunity, then a plan is developed and training provided to increase or add to the employee's current skills.

Ongoing Training Plans

What distinguishes "ongoing" training, and the supervisor who uses it, is the training plan that describes specifically the goal of the training and how several different training efforts will work over time to prepare employees to perform. Each comprehensive training plan includes the goal(s) of the training, the methods and activities used in training to accomplish those goals, and the actual behaviors of the employee that will change as a result of the training.

Write an ongoing training plan by answering these questions:

- What is the training goal or goals?
- What new areas of knowledge or skills are needed to reach that/those goals? Each of these new areas is a learning objective. Write down the learning objectives.
- In what sequence should the learning objectives be attained?
- What are the best learning activities (methods) for the employee to achieve their learning objectives?
- What observable results, or changed/added behavior, will they produce that can be reviewed to verify their learning?
- Who will verify that each of their learning objectives was reached?
- When they have achieved all of their learning objectives, will they indeed have achieved all of their overall training goals?

Ongoing training plans of this type are often completed with or by the agency's human resource representative and become a part of the employee's permanent record. So, before the overall training plan is complete, arrange for a training expert to review the plan, a single person to be responsible for implementing and tracking the overall plan, and a way to evaluate how effective the plan was.

Chapter 4 - My Career Map

List here what you learned about your responsibilities for developing job descriptions and participating in hiring practices in your agency. We return to this information again and again as you move through this course.

Who and Where I Am	NOW	Who and What I Want to Be	What I Will Do	Date
My Responsibility for Job Descriptions:				
My Responsibilities for Recruiting:				
My Responsibilities for Hiring Practices:				
My Responsibilities for Training New Hires:				

SECTION 9 CHAPTER 4 POST TEST

1. It is important for your employees' job duties in the job description to be very general.
   a. True
   b. False

2. Interview questions should be developed before interviews are conducted.
   a. True
   b. False

3. Performance standards should be established after the interviews are conducted, to account for a candidate's special talents and abilities.
   a. True
   b. False

4. New employee interviews should include testing in key performance areas, ensuring that candidates who have children will have adequate child care if they are hired, and establishing a method to evaluate or rate candidates' responses.
   a. True
   b. False

5. When interviewing candidates for a job opening, it is important to:
   a. Ask the same questions of all candidates
   b. Determine if the candidate's lifestyle is a good fit for the agency
   c. Determine candidates' marital status
   d. Ask different questions of different candidates, depending on personality and talents
   e. Modify the job description after the interview, to account for special skills

6. Performance standards are written statements describing:
   a. Specific tasks
   b. How well a job should be performed
   c. All the tasks required in the job
   d. When and how a job should be performed
   e. All of the above

7. HUD requires that the original employment application, the original job description and any revisions to the job description, and the PHA offer letter be in the employee personnel file.
   a. True
   b. False

8. Housing authorities' human resources policies are seldom subject to state law.
   a. True
   b. False

9. Generally, the best kind of training is:
   a. On-the-job training
   b. Professional seminar
   c. Formal education
   d. Self study
   e. All of the above are effective, depending on the situation and the employee's training needs

10. Training plans:
    a. Should have an overall purpose, or goal
    b. Establish a sequence of knowledge and skills to be attained, or learning path
    c. Track trainings and learning activities and methods accomplished
    d. Should designate someone to verify that the training goals have been met
    e. All of the above

11. HUD regulations govern personnel/human resources policies.
    a. True
    b. False

12. When hiring, performance standards should be established before the interviews are conducted, so functions are well-defined and expectations are clear.
    a. True
    b. False

SECTION 10 CONTINUED LEARNING

Onboarding Plan Example

ONBOARDING PLAN – HCV Director

Learning the PHA and Your Job

Introduction

This document is intended to assist the newly hired HCV Administrator in orienting to her new job within the environment of the PHA. Learning how the agency works is paramount to quickly ramping into the position. There are several key orientation areas to become acclimated to the PHA environment. At some early point in your onboarding, you will need to become familiar with each of these areas.

We recommend that you make a project plan with priorities and dates from the items noted in this document. The project plan can then serve as an onboarding plan.

Background of the HCV Program at the PHA

Relevant background of the program. Is the PHA under any voluntary compliance agreement (VCA)? Are there audit, OIG, or RIM findings that are being resolved?

Customer Service

Expectations and any special considerations. Are there reports that need to be reviewed?

Software Limitations

What does the software do well? What are the limitations? Recent upgrades? Planned upgrades? Is the software transitioning between systems? Are there weekly or monthly reports that should be reviewed?

Familiarity with Documents and Software

Documents

To provide oversight and compliance, you will need to know these documents well:

- Contracts, if any
- MTW Agreement and Plan, if applicable
- HUD regulations and forms
- Administrative Plan
- HQS Inspection Guidebook
- Vendor procedures manual
- Vendor forms and letters

Software

What is the software? Is it upgraded or being upgraded? Is the PHA is the midst of a transition roll-out? Is the PHA currently designing certain elements of the software (for example, workflow)? What meetings should the new director attend to immerse herself in the software functionality and to assist in making designs and defaults?

VMS

The new director needs to understand the VMS system. She will need to be taught to use the system to input and analyze data.

CHAPTER 5 Supervising a Team

Learning Outcomes

Identify group dynamics and the principles of leading a team.

Explain motivation and what motivates employees and what makes a team productive.

Discuss the purpose of delegation, and the principles and steps in effective delegation.

Recognize the ways teams can make decisions.

Apply strategies to manage conflict within a team.

Identify the steps in crisis management.

Overview

An agency's or team's performance involves more than individual planning, decision-making, and implementation. Most work (and most learning) occurs in teams or groups. So it's important for supervisors to know how to design, build and support highly effective teams.

SECTION 1 UNDERSTANDING YOURSELF AND WHAT YOU'RE CARRYING IN

Everyone comes to the boss/employee relationship with a certain amount of baggage. Baggage isn't all good and it isn't all bad. It's the historical, habitual way we relate to, have expectations of, and harbor fears about someone who can make decisions that affect us. Wherever we go, we carry our baggage with us.

Through your earliest relationships, you learned certain ways of behaving and you probably adopted certain ideas about yourself. If, for example, you were a quiet child who was rewarded for needing little attention, you may have decided that you get the best results when you stay out of the way and accomplish things on your own. Today, you may maintain a low profile and perform your job with minimal fanfare.

If, on the other hand, you were a gregarious child who served as mother's little helper, you may have decided that your greatest value is as a happy nurturer. When you have a new boss, or a new employee, you automatically introduce yourself and begin tending to that person's basic needs—you bring food, water the plants, and offer to help out when any problem arises.

Or maybe you were raised in a large, boisterous family where you fought to be heard. In that case, you may believe that the first person to speak up in any situation wins. You may then approach others in the workplace with an urgent need to voice your opinion.

Just as the luggage you wheel to the airport contains miscellaneous objects packed together, likewise your baggage holds many commingled emotions and attitudes. The mix of emotions, thoughts, and motives that get stirred up in each of us when dealing with others in the workplace, including people in positions of authority is complex. It's also extremely valuable to uncover. Why? Because although it's natural (and convenient) to blame an employee or the boss when we don't feel supported or acknowledged at work, it's more helpful to address the situation by starting with *you*. Regaining a sense of power and control in the boss/employee relationship begins with knowing and managing *your* reaction first.

Boss Baggage

You started packing your boss baggage many years ago during your formative years as a child. At that time, "the boss" consisted of your parents, your teachers, grandparents, babysitters, clergy, and anyone else who served as an authority figure in your life.

Boss baggage can include the hope of being appreciated and the fear of being devalued. It can contain a friendly initial attitude toward someone in power, as well as a healthy skepticism toward that person's initiatives. Boss baggage may consist of a wish to be led and inspired, coupled with a desire to be left alone.

Don't worry. We aren't saying that your boss is perfect. Your boss is an authority figure whose behavior can be a problem. You may be grappling with a boss who is unreasonable, unavailable, unfair, unkind, unreliable, undermining, or emotionally unstable. Still, no matter how bad your boss' conduct may be, your greatest point of power comes from identifying and deactivating the negative feelings, thoughts, or actions that his or her misbehavior triggers in you.

Knowing Our Baggage

Knowing your own baggage gives you immediate options when dealing with others in the workplace, including someone in a position of authority. If interactions become a problem, you can quickly determine how you may be adding to the problem. You want to be able to answer these questions:

- Which of my *expectations* aren't being fulfilled?
- What *needs* of mine aren't being met?
- What *fears* are being triggered in me?

By *expectations*, we mean assumptions you have about what you will experience or receive. For example, you may expect your employees and boss to treat you with respect. Or, you may expect your manager to explain what he or she wants from you. Once you realize that a certain expectation is not going to be met, you can adjust it.

Needs, on the other hand, are personal requirements or strong wants. In order to be productive, you may need clear direction. If you happen to be shy or withdrawn, you may need a boss who can speak up on your behalf and defend you, or you may need employees who understand that you're not the back-slapping type of person. Needs differ from expectations because they aren't adjustable or flexible. For you to thrive at work, your needs must be met. So, if your boss isn't able to give you clear direction, or if you have quiet or shy employees, you may need to find ways to receive clear instructions from someone else.

Fears are those phantom thoughts and feelings that arise when our emotional safety is threatened. Fears are very different from needs and expectations because they can be triggered without your even realizing it. For example, if your boss walks in with a frown on his face, you may fear that you've done something wrong—even if he or she hasn't said anything to express displeasure with you. Maybe you have an employee of the opposite sex who tends to be loud and abrasive—and this behavior, frankly, scares the heck out of you. We all have fears that lie dormant inside of us. If you can determine which and when fears are triggered by the boss, you can defuse them.

If you can decipher those things, then you can adjust your expectations, soothe (or not quite believe in) your fears, and find ways to get your needs met. In other words, you can figure out how to neutralize your part in the negative equation.

You may *expect* your boss to trust your experience, you may need to feel valued and respected by your boss, and you may *fear* not being needed by your employer.

If you understand these things about yourself, then you have a choice. As you get a grip on your own baggage, you're able to work from a less emotional place. You can see real options for managing the relationship.

Understanding your baggage takes you out of acting automatically from a fear-based position and into discovering a reality-based approach to handling your employees, colleagues, and boss.

Section 2 Employee Motivation

Effective supervisors motivate—and inspire—their employees by understanding what is personally important to each employee. Different things motivate different people. Find out what really motivates each employee by asking them, listening to them, and observing them.

Effective supervisors also motivate by matching the goals of the organization with the goals of each employee. Your function is to be a reminder of the agency's mission. It's critical that supervisors identify what personal goals are being met by each employee in their work and that these goals are consistent with the agency's.

Myths about Motivation

Motivating employees is extremely important to supervisors, and yet many myths persist—especially among new supervisors.

Myth 1 – "I can motivate people."

People motivate themselves! You can inspire by facilitating an environment where the team motivates itself.

Myth 2 – "Money is a good motivator."

Money, a nice office, and job security keep people from becoming less motivated, but they don't always help people to become more motivated.

Myth 3 – "Fear is a good motivator."

Fear is a terrific motivator—for a very short time! In the long run, fear is a de-motivator. Employees will sabotage, in subtle and not-so-subtle ways, a raging boss.

Myth 4 – "Everyone is motivated by the same things."

Different things motivate different people. Some people are motivated by recognition. Others respond to "feeling in the know". Having a nice office space may motivate other people.

Learning Activity 5-1: What Motivates You?

Consider the following typical motivators. Rank the categories, starting with “1” as the highest. You might have several categories that rank a “1”.

Don’t worry about getting your ranking to be perfect. The point is to go through the process of thinking about what motivates you.

	Career development/success
	Comfort/relaxation
	Health/balance
	Influence/leadership
	Learning/knowledge/discovery
	Material possessions
	Recognition/praise
	Security/money/home
	Affiliation/popularity/acceptance
	Status/prestige/reputation
	Tasks
	Accomplishment/problem-solving/achievement
	Teaching/guiding Others
	Vitality/energy
	Others?

Briefly review your top three motivational factors above and list three things you are doing to keep them in your life and work.

1. ____

____

2. ____

____

3. ____

____

Now, make a list of three to five things that you think motivates each of your employees. For each employee, note how you will change your approach with each employee to ensure his or her motivational factors are being met.

Employee	Motivators	Change in Approach

Meet with each of your employees to discuss what they think are the most important motivational factors to them.

Revise your original list of motivators for each team member.

SECTION 3 STAFF AND TEAM PRODUCTIVITY

The key to success for all organizations is staff. Successful organizations, now more than ever, require multi-skilled and efficient staff.

People need to know what is expected of them in order to be productive. Being busy is not necessarily the same as being productive. The following tools and commitments are necessary for a productive staff:

- Job descriptions that are up to date
- Assessment of the competencies (knowledge, skills, and abilities) needed by all positions, measurement of actual competencies of each employee, and an individual development plan to close the gap
- Ongoing communication
- Performance monitoring
- Performance reviews

The supervisor is the heart of staff productivity at the project or department level of any organization. You need to create an environment that fosters that productivity.

There are several strategies you use to help promote productivity. Here are a few:

- Recognition goes a long way. When folks have done a good job, it helps that someone noticed. Recognition can be informal as well as formal.
- People are more productive in an environment that fosters personal growth and development. Don't be threatened when someone wants to grow beyond the job.
- Give folks who want it some authority. People need to use and test their leadership skills. This doesn't mean you delegate your essential tasks, but do let others shine.
- Challenging work is what will keep your talented staff productive. People want to exercise their talents to attain success and be noticed by the organization. Be careful, however, that your talented staff is not doing all the work.
- Interaction and affiliation can optimize productivity. Provide opportunities to work on teams, participate in meetings, and work in the community.
- Some people do well with a lot of independence. Don't micromanage the staff that doesn't need it. Some people need a lot of direction and support, others don't. Although you supervise consistently in adherence to personnel policy, your management style should vary with employees and according to the situation.
- Studies show that predictability fosters productivity. Job security is good, but so is a pleasant, safe, harassment-free, nonconfrontational workplace. Fairness is a motivator; favoritism is a de-motivator. When people know they can expect a safe, fair place to work, they get to work.
- The most fulfilling reward for employees is to do useful work. Be certain that each employee understands the goals and mission of the PHA, is aware of how that mission is in some way consistent with their own values, and how their work is contributing to accomplishing that mission.
- Once again, employees are most productive when they know what is expected of them.

Stages of Team Development

All groups (families, school sports, teams, organizational departments) go through recognizable stages during their lifetime. Each of these stages is important to the development and effectiveness of the group. An understanding of the stages is essential for the supervisor working with teams. Four particular stages were identified by the American psychologist Bruce Tuckman in 1965. These stages include:

Forming

This is the stage when formal team goals are shared and explicit agendas are set. You may experience this stage when a new department is formed, or when your department hires new employees. When teams first get together, members consider:

- “What am I here for?”
- “Who else is here”
- “Who am I comfortable with?”

During this stage, it is important to get members involved, introducing themselves, sharing their goals for the group. This stage is marked by “polite” conversation.

Also, the team may require clear leadership to facilitate clarity and comfort for involvement of members.

Storming

During this stage, members are beginning to voice their individual differences, joining with others who share the same beliefs, trying to jockey for position in the group. It is important for members to continue to be highly involved; voicing their concerns in order to feel represented and understood.

This is the phase in which team members identify their own personal and professional values and describe how these values differ from those of other team members, and is marked by “not very polite” conversation.

Norming

In this stage, members begin to share common values and commitment to the purpose of the team, including its overall goals and how it will reach those goals.

The team leader should focus on clarity of views, achieving consensus (or commonality of views) and recording decisions.

This phase is marked by detailed discussions that have both conflict and consensus-"polite" and "not very polite" conversation, so the team leader should focus on achieving clarity of roles, structure and process of the group.

Performing

In this stage, the team is "humming." Members are actively participating in the team process to achieve the goals of the group and the organization.

During this stage, the style of leadership becomes more indirect as members take on stronger participation and involvement in the group process.

Guidelines for Building Teams

Use basic guidelines in forming and supervising teams. The guidelines that follow are important for the new supervisors and helpful for the seasoned team leader or supervisor.

- **Determine the purpose of the team.** Remember your mission and what the team needs to achieve.
- **Set clear goals.** Identify the results needed from the team. Write these goals down to eventually communicate to and discuss with all team members.
- **Determine group process.** The process will be different for different types of decisions; some decisions might made through open discussion and consensus. Other actions will require planning. Some decisions will be made by just a few decision-makers. Some decisions will be made by you.
- **Aim for diversity.** Consider the extent of expertise needed to achieve the goals. You want enough perspectives to ensure creative ideas and discussion.
- **Identify needs for training and materials.** Knowledge enables your employees to contribute.
- **Identify the costs.** Provide the necessary resources for the team. Consider the cost of training, hiring consultants, room rental, office supplies, etc.
- **Plan team building activities.** Early on, plan team building activities to support trust and strong working relationships among members. These may include a breakfast retreat, cross-training, learning activities at your monthly staff meeting, or members helping each other to solve a short problem.

LEARNING ACTIVITY 5-2: Stages of Teamwork

What Stage Is Our Team In?

Directions - This questionnaire contains statements about teamwork. Next to each question, indicate how rarely or often your team displays each behavior by using the following scoring system:

Almost never – 1

Seldom – 2

Occasionally – 3

Frequently – 4

Almost always – 5

1.		We try to have set procedures or protocols to ensure that things are orderly and run smoothly (i.e., minimize interruptions, everyone gets the opportunity to have their say).
2.		We are quick to get on with the task on hand and do not spend too much time in the planning stage.
3.		Our team feels that we are all in it together and shares responsibility for the team's success or failure.
4.		We have thorough procedures for agreeing on our objectives and planning the way we will perform our tasks.
5.		Team members are afraid to ask others for help.
6.		We take our team's goals and objectives literally, and assume a shared understanding.
7.		The team leader tries to keep order and contributes to the task at hand.
8.		We do not have fixed procedures, we make them up as the task or project progresses.
9.		We generate lots of ideas, but we do not use many because we fail to listen to them and reject them without fully understanding them.
10.		Team members do not fully trust the others members and closely monitor others who are working on a specific task.
11.		The team leader ensures that we follow the procedures-do not argue, do not interrupt, and keep to the point.
12.		We enjoy working together; we have a fun and productive time.
13.		We have accepted each other as members of the team.
14.		The team leader is democratic and collaborative.
15.		We are trying to define the goal and what tasks need to be accomplished.
16.		Many of the team members have their own ideas about the process and personal agendas are rampant.
17.		We fully accept each other’s strengths and weakness.

18.		We assign specific roles to team members (team leader, facilitator, time keeper, note taker, etc.).
19.		We try to achieve harmony by avoiding conflict.
20.		The tasks are very different from what we imagined and seem very difficult to accomplish.
21.		There are many abstract discussions of the concepts and issues; some members are impatient with these discussions.
22.		We are able to work through group problems.
23.		We argue a lot even though we agree on the real issues.
24.		The team is often tempted to go above the original scope of the project.
25.		We express criticism of others constructively.
26.		There is a close attachment to the team.
27.		It seems as if little is being accomplished with the project's goals.
28.		The goals we have established seem unrealistic.
29.		Although we are not fully sure of the project's goals and issues, we are excited and proud to be on the team.
30.		We often share personal problems with each other.
31.		There is a lot of resisting of the tasks on hand and quality improvement approaches.
32.		We get a lot of work done.

In the fill-in lines below, mark the score of each item on the questionnaire. For example, if you scored item one with a 3 (Occasionally), then enter a 3 next to Item One. When you have entered all the scores for each question, total each of the four columns.

Item Score		**Item Score**		**Item Score**		**Item Score**	
1.		2.		4.		3.	
5.		7.		6.		8.	
10.		9.		11.		12.	
15.		16.		13.		14.	
18.		20.		19.		17.	
21.		23.		24.		22.	
27.		28.		25.		26.	
29.		31.		30.		32.	
TOTAL		**TOTAL**		**TOTAL**		**TOTAL**	
Forming Stage		**Storming Stage**		**Norming Stage**		**Performing Stage**	

This questionnaire is to help you assess in which stage your team normally operates. It is based on the Tuckman model of Forming, Storming, Norming, and Performing. The lowest score possible for a stage is 8 (almost never) while the highest score possible for a stage is 40 (almost always).

The highest of the four scores indicates which stage you perceive your team to normally operate in. If your highest score is 32 or more, it is a strong indicator of the stage your team is in.

The lowest of the three scores is an indicator of the stage your team is least like. If your lowest score is 16 or less, it is a strong indicator that your team does not operate this way.

If two of the scores are close to the same, you are probably going through a transition phase, except:

- If you score high in both the Forming and Storming phases, then you are in the Storming phase
- If you score high in both the Norming and Performing phases, then you are in the Performing stage.

If there is only a small difference between three or four scores, then this indicates that you have no clear perception of the way your team operates, the team's performance is highly variable, or that you are in the storming phase (this phase can be extremely volatile with high and low points).

SECTION 4 THE MULTIGENERATIONAL WORKFORCE

Why It Matters

Competition for talent is increasing as baby boomers are retiring.

More generations working side-by-side; there may be six generations of workers in an agency.

There are more and more younger managers. The workplace is seeing older people supervised by younger managers.

Productivity and business results are impacted by the ability to work with interpersonal and intrapersonal competency.

Traditionalists	Baby Boomers	Gen Xrs	Millennials
1922-1945	1946-1964	1965-1980	1981-1996
Gen Zers			
1997-2012			

How Do Different Generations Differ?

- Time - hours in the day
- Technology
- Loyalty
- Individual expression
- Job security

Baby Boomers (1946-1964)

Characteristic:

- Optimistic
- Work ethic and traditional values
- Team-oriented

Motivated By:

- Company loyalty
- Teamwork
- Goals

Communication Style:
- Face to face
- Phone calls

Generation Xers (1965-1980)

Characteristic:
- Independent
- Adaptable
- Developed technical skills

Motivated by:
- Work life balance
- Diversity
- Personal-professional interests

Communication style:
- Whatever is most effective
- Face to face
- Phone calls

Millenials (1982-2002)

Characteristic:
- Tech-savvy
- Collaborative spirit
- Achievement-oriented
- Desire for feedback and growth opportunities

Motivated by:
- Responsibility
- Quality of their manager

Communication style:
- Instant messaging
- Texts
- email

Generation Zers (1997-2012)

Characteristic:

- Highly digital
- Progressive
- Entrepreneurial
- Less focused

Motivated by:

- Creativity
- Personalization
- Individuality
- Diversity

Communication Style:

- Does everything on their phone
- Instant messaging
- Text
- Social media

Six Principles of Managing Multigenerationally

1. Initiate conversations about generations
2. Ask people about their needs and preferences
3. Offer options
4. Personalize your style – be flexible
5. Build on strengths – recognize the unique strengths of each individual
6. Pursue different perspectives – choose people with varied backgrounds and perspectives to work on projects together

Bridging the Gap with Mutual Mentorship

Generation Z began entering the workforce in the mid-2010s, and as of 2023, Millennials make up 35 percent of the total workforce. By 2030, it's projected that both generations will make up almost 74 percent of the workforce. Until then, Baby Boomers and Generation X, which make up more than half of the current workforce, have a chance to act as Modern Elders to guide the younger generations and, at the same time, upgrade their skills to adapt to the post-pandemic work environment.

It is believed that the future of a successful work environment depends on mutual mentorship. Wisdom is not governed by age but rather by knowledge, expertise, and curiosity to grow. The younger generations have their own unique form of wisdom. Millennials and Generation Z have the advantage of growing up with the internet and rapid technological advancement, acquiring a skill set that could benefit Baby Boomers and even Traditionalists.

Resolving Generational Differences

Is it a business necessity, or is it a generational preference?

If it's not a business necessity, it's a preference. Can the preference be accommodated in the workplace, or flexed for the employee? Can you flex interpersonally for the employee?

It's not "Different, therefore wrong." Rather, it's "Not wrong, just different."

SECTION 5 DELEGATION

A hallmark of good supervision is effective delegation. Delegation occurs when a supervisor gives responsibility and authority to a subordinate to complete a task, and lets the subordinate decide how the task can be accomplished.

Effective delegating develops people who are ultimately more productive and fulfilled. In turn, supervisors are more productive as they learn to count on their team members and are able to attend to other supervisory issues.

- Delegating can be difficult for new supervisors if they were once responsible for the product, service, or task being delegated. Some supervisors want to remain comfortable, making the same decisions they have always made. They may believe they can do a better job themselves. Or, they may not want to risk losing any of their power and stature.
- Some supervisors don't want to risk giving authority to subordinates in case they fail and harm the image of the team or the goals of the organization. For this reason, it's important to know what to delegate and to whom – and what not to delegate.

The Benefits of Delegation

There are countless benefits to delegation. The most obvious might be lightening your workload. Delegating allows you to cross items off your “to do” list and put them on someone else's.

As important as that is, it might be the least powerful of the benefits of delegation. Delegation should provide challenge for your subordinates and encourage them to develop their capabilities. As they take on tasks that exceed their basic job description, they will naturally develop new knowledge and skills to cope with those tasks. Such development prepares them for future assignments and promotions.

Delegation can also be a clear sign that you respect your subordinates' abilities and that you trust their discretion. Employees who feel that they are trusted and respected tend to have a higher level of commitment to their work, their organization, and especially their manager.

In addition, effective delegation requires subordinates' input during the delegation process. When subordinates participate in making decisions that pertain to their work, they tend to have a greater sense of ownership of the work and increased commitment to its successful completion.

Finally, and perhaps most importantly, delegation often improves responsiveness to customers. The people who have the most contact with customers—whether they are external customers or internal customers—are usually the ones with the most complete information about how best to serve them. Hence, delegation can help empower subordinates to take action to improve customer satisfaction.

Delegating Strategically

Delegating strategically means delegating with forethought and planning in a way that capitalizes on opportunities. Have a plan for delegation. Think about your employees’ level of development and how much responsibility they’re ready for. Delegate work to them over time in such a way as to continually develop their competence. You can discuss these plans with your employees. They’ll appreciate your concern for their development.

Principles of Delegation

There are approaches to delegation that will, with practice, become the backbone of effective supervision and development.

1. **Delegate the whole task to one person.** This gives the person the responsibility and increases their motivation.
2. **Select the right person.** Assess the skills and capabilities of subordinates and assign the task to the most appropriate one.
3. **Clearly specify your preferred results.** Be clear about what you want done. Give information on what, why, when, who and where. Leave the "how" to the employee unless he asks for your help.

   State specifically when the task is expected to be completed. If the project will cover a lengthy time period, provide checkpoints where the employee can report progress to you.

   Write this information down.
4. **Assign the task, not the method to accomplish it.** Let the subordinate complete the task in the manner they choose, as long as the results are what the supervisor specifies. Note that you may not even know how to complete the task yourself -- this is often the case with higher levels of management.
5. **Match responsibility and authority.** A fundamental principle of work assignments is that responsibility must match authority. Power without accountability breeds abuses of power. Accountability without power is unjust and demoralizing. Ensure that subordinates will be held accountable for the work that has been delegated to them. As their manager, you retain ultimate responsibility for their successes and failures. But, when you grant them considerable discretion, your subordinates must receive primary responsibility.

   Particularly when delegation involves granting rights to allocate and consume additional resources, other parties need to know that you have delegated authority to your subordinates. If you tell one of your subordinates that she can enlist the help of one of her peers, you better also tell that to her peers. Everyone affected by a project must be informed that the project has been delegated.
6. **Ask the employee to summarize back to you their impressions of the project and the results you prefer.**

7. **Get ongoing non-intrusive feedback about progress on the project.** This is a good reason to continue to get weekly, written status reports from all direct reports. Reports should cover what they did last week, plan to do next week and any potential issues. Regular employee meetings provide this ongoing feedback, as well.
8. **Maintain open lines of communication.** Don't micromanage or hover over the subordinate, but sense what they're doing and support their checking in with you along the way.
9. **If you're not satisfied with the progress, don't take the project back.** Continue to work with the employee and ensure they perceive the project as their responsibility. Insist that the subordinate recommend solutions.
10. **Evaluate and reward performance.** Evaluate results more than methods. Provide feedback to your employee when the assignment is completed. Address insufficient performance and reward successes.

Learning Activity 5-3: Delegation Self Assessment

Following is a delegation self-assessment tool that helps you explore your skills in delegating:

Delegation Self-Assessment			
Instructions: For each of the following questions, put a checkmark in the YES or NO column regarding the way you usually deal with delegation. Don't think too long on a question. Go with your first reaction. Be honest with yourself – no one will see this but you.			
	YES	**NO**	
1.			I spend more time than I should, doing work my subordinates could do.
2.			I often find myself working while my subordinates are idle.
3.			I believe I should be able to personally answer any question about any project in my area.
4.			My "in box" mail is usually full.
5.			My subordinates usually take initiative to solve problems without my direction.
6.			My team functions smoothly when I am absent.
7.			I spend more time working on details than I do planning or supervising.
8.			My subordinates feel they have sufficient authority and resources for which they are responsible.
9.			I have bypassed my subordinates by making decisions that were part of their job.
10.			If I were incapacitated for an extended period of time, there is someone who could take my place.
11.			There is usually a big pile of work requiring my action when I return from an absence.
12.			I have assigned a job or task to a subordinate primarily because I didn't like the task.
13.			I know the interests and goals of every person reporting to me.
14.			I make it a habit to follow up on jobs I delegate.
15.			I delegate complete projects as opposed to individual tasks wherever possible.
16.			My subordinates are trained to maximum potential.
17.			I find it difficult to ask others to do things.
18.			I trust my subordinates to do their best in my absence.

19.			My subordinates are performing below their capacities.
20.			I nearly always give credit for a job well done.
21.			Subordinates refer more work to me than I delegate to them.
22.			I support my subordinates when their authority is questioned.
23.			I personally do those assignments only I can or should do.
24.			Work piles up in my team.
25.			All subordinates know what is expected of them in order of priority.

Scoring:

Give one point each for each “YES” for numbers 5,6,8,10,13,14,15,16,20,22,23, and 25; and one point for each “NO” for numbers 1,2,3,4,7,9,11,12,17,19,21, and 24.

Interpretation:

Scores 20-25: You follow excellent delegation practices that help the efficiency and morale of your work group. These skills maximize your effectiveness as a supervisor and help develop the full potential of your staff.

Scores 15-19: Your score is adequate, but nothing special if you are striving for excellence in supervision. To correct the deficiency, review the questions you missed and take appropriate steps so that you don’t repeat these delegation mistakes.

Scores 14 and below: Delegation weakness is reducing your effectiveness as a supervisor. The overall performance of your work group is lower than it should be because either you are unable or unwilling to relinquish power to others. In addition, delegation mistakes may cause dissatisfaction among your staff. At the least, they will not develop job interest and important skills unless you improve in this area.

SECTION 6 TEAM DECISION MAKING

Your leadership can make the difference between a high-performing team and one that struggles. You can help your team use their experience and skills to make good decisions just by helping them to think through a situation. Following are some of the most common ways a team "thinks through" their decisions, and when you would use the method.

Brainstorming

You will use this method when you want creative ideas, and when a decision doesn't have to be reached immediately. Brainstorming means considering all possible ideas, listing those ideas so all can see, and sometimes having a method to prioritize the ideas. The cardinal rule of brainstorming is there is no criticism of any idea, all ideas count (no one will be criticized for a bad idea or given credit for a good idea), and all comments are "off the record."

In the group or alone, it is important that no good idea or compromise be overlooked. Take notes—new ideas evaporate quickly.

Consensus

Consensus decision-making is where all team members get a chance to air their opinions and must ultimately agree on the outcomes. You would use this method if time is not a constraint and if you are willing and able to accept the group's decision. If any team member does not agree, discussions continue. Compromise must be used so that every team member can agree with and commit to the outcome.

Authority Rule Without Discussion

This is where there is usually no room for discussion, as with predetermined decisions handed down from higher authority (for example, the executive director or the board). This is also how you will need to make a decision when it must be made right, right now, and you are the right person to make it—and you have the authority to do so. Trust is often killed with this method when a team leader tries to fool team members into thinking that their opinions about the decision really can affect the decision.

Participative

Under this method, those in the decision-making role make it clear from the onset that the task of decision-making is theirs. Then they join in a lively discussion of the issues; their opinions count just like other team members. When they have heard enough to make an educated decision, they cut off the discussion, make the decision, and then get back to all team members to let them know how their inputs affected their decision. Most team members feel listened to and willing to participate in another team decision using this method.

Benefit analysis

If you have a particularly difficult or complex problem you may want to consider, along with your team, all of the possible solutions and their benefits. Write down the pros and cons for each choice and assign a weight (0 to +10) to each pro and each con (0 to -10), indicating the importance of each factor.

By adding up the pros and cons (each weight), you get a total score for each alternative choice. By comparing the totals for each alternative course of action, you can usually determine the best choice.

SECTION 7 SUPERVISING A DIVERSE TEAM

You may have an opportunity to work with people from very different backgrounds and histories. Many agencies have employees at every level that represent the differences in human beings—differences in race, ethnicity, religion, gender, age, national origin, ability, social group, class, and interests.

Research has shown how well-managed, diverse teams outperform homogeneous teams. It's important to recognize that diversity is an asset. People have different ways of looking at life. It is these views of life that help your project or team face new challenges and do a good job. If you don't choose or seek a team with differences, your team may not have the skill and vision to take action in new situations.

Build a Sense of Team Identity, Trust, and Interdependence

You as a supervisor can instill confidence and courage in a diverse team. Try to:

- Balance your team in recruitment and hiring.
- Include everyone in decision-making. Inter-team learning can provide everyone with important information and knowledge.
- Create a team spirit so everyone feels they are vital. Demonstrate working together with a sense of purpose.
- Help employees ask for help. Make questioning and skill building a strength.
- Get information from staff with a variety of backgrounds and cultures.

SECTION 8 CONFLICT MANAGEMENT

Sometimes differences in people can lead to disagreement. Different ideas, viewpoints, and opinions can lead to conflict.

Many people believe that conflict means trouble! In fact, conflict is often very helpful. Conflict can help raise important questions, help people get involved, and help a team realize what's really important to them as a group. You can help your team use these types of conflict to learn and grow over time.

What *can* be a problem is poorly managed conflict! This type of conflict may come from any number of areas: supervisors on a team who don't get along or have very different working styles; inconsistent, missing, or uninformed staff; people who don't understand their jobs or the jobs of other employees; employees who aren't informed about new decisions or programs; team members who are not included in decision making; or projects that don't have the necessary resources.

Employees cope with conflict in many different ways depending on the situation. Some pretend the conflict is not there; others may give in and compromise their own beliefs. Other team members may become far more competitive. Probably the most helpful employee in a conflict situation is the employee who is focusing on working together and trying to meet as many team needs as possible using the available resources.

Conflict avoided doesn't go away. Being able to handle conflict in a productive way is frequently mentioned as one of the most challenging skills for supervisors.

When Conflict Arises and Strategies to Minimize Conflict

Role Conflict

Role conflicts can happen when a new boss or a new colleague joins the team, or when job duties change, or when someone's "toes" feel stepped on. People can feel very threatened when they believe their role is questioned. Here are some considerations if you or your team is experiencing conflict around roles:

- Take responsibility for clarifying your role with others involved.
- Be honest with yourself. Are you determined to be right, or would you and everyone else be better off by teaming up in shared interest?
- Be prepare to change your perception of your role. Show your willingness to be flexible in achieving your program or organization's goals.
- Try not to take others' touchiness around roles personally.

Process Conflict

When roles and responsibilities aren't defined well, tasks "fall between the cracks". Then mistakes are made, and the quick reaction is to blame someone. A better strategy is to take a step back and look at the process.

- Identify the root cause of the problem and think about improvement opportunities.
- Ask yourself how much control you have over this process conflict. Talk first to the "owner" of the process. You won't effect meaningful change if the owner feels threatened or bypassed. Describe the current problem and get agreement. Better policies, processes, forms, or accountability may be needed. Suggest a workable solution and action plan.
- Follow through on the plan and give recognition to the owner of the process.

Interpersonal Conflict

Interpersonal conflict happens in subtle and overt ways. Within ourselves, it’s much easier to say, “It’s not my fault, it’s yours!” than to look at our own reaction. Ask yourself how much your personal biases and judgments affect the relationship.

- Think about behaviors that *you* could change in order to reduce conflict in the relationship. Commit to just trying these—see if they make a difference.
- Talk to the person quietly and in private. Use a calm and gentle voice in the conversation. Encourage feedback that might seem brutally honest. Your openness and lack of defensiveness will do more than anything else to repair the relationship—even if the other person isn't ready to accept it.
- Put yourself in the other person’s position. When you understand someone, you’re going to be compassionate.
- Think about the strengths that you see in the other person.
- Picture a happier relationship with this person, and see how a happier relationship would benefit you, both personally and professionally.

Direction conflict

Direction conflict happens when it seems that there is a difference in values. You believe something is right, but the general consensus, or maybe the direction of your boss, differs from what you believe.

- Ask yourself, “Am I clear on the direction or vision?” Clarify the discrepancy so that it can be easily described in neutral words.
- Ask permission to address the discrepancy with the other person or with the group in a friendly, nonconfrontational way, and gain agreement.
- Use “I” messages rather than “you” messages.
- Make authentic commitments.

Situational conflict

Conflicts arise from external situations, events, agencies, or persons. In this case, ask yourself how much control you really have over this factor.

- Put your energy into things you can do something about rather than what “should” or “shouldn’t” be happening. Choose to “fight battles” that are worth the price.

LEARNING ACTIVITY 5-4: Going Back to the DiSC Profile and the People You Work With

Think about your DiSC profile. Now consider again the people you work with-your boss, other managers/directors, the people you supervise, external collaborative relationships. Sometimes you just “get” each other. With others, it can feel like you're on different planets. With the DiSC profile, you've considered your predominant behavioral style. Consider:

What If I'm supervising someone with a very different style?

What if my boss has a very different style?

At the top of the column in the table below, write the initials of a person at work (your boss, other managers/directors, the people you supervise, etc.) you work very well with. In the second column, write the initials of a person at work where communication is quite difficult at times. You can add other people if you want.

Make a check mark under the initials for each person beside each itemized tendency for each style that you think fits the person.

Then look at the number of check marks you made under each tendency heading (High D, High I, etc.). Can you clearly see which tendency each fits into?

	Initials				
Enter Initials of Colleagues					
High D Behavioral Tendencies					
High “sense of personal worth”					
Task oriented—needs results					
Motivated by directness					
Getting immediate results					
Accepting challenges					
Making quick decisions					
Questioning the status quo					
Solving problems					
TOTAL					
High I Behavioral Tendencies					
Optimistic					
People-oriented					
Motivated by social recognition					
Being articulate					

Creating a motivating environment					
Generating enthusiasm					
Entertaining people					
Bringing people together					
TOTAL					
High S Behavioral Tendencies					
Team player, family oriented					
Steady					
Consistent, predictable performance					
Patient					
Helps others					
Motivated by established practices					
Showing loyalty					
Creating a calm, stable work environment					
TOTAL					
High C Behavioral Tendencies					
Accurate—precision quality control person					
Task oriented					
Motivated by adherence to standards					
Thinking analytically					
Using subtle or indirect approach to conflict					
Using a systematic approach to situations					
Checking for accuracy					
Analyzing performance critically					
TOTAL					

Does this help me understand these colleagues better? How could I adapt my behavioral and communication style to be more effective with these colleagues? Pick at least two work relationships that will most benefit from this analysis.

Colleague #1:

Colleague #2:

SECTION 9 CRISIS MANAGEMENT

Your agency could experience a devastating hurricane, a deadly flood, or the unimaginable attack! Would you and your team be ready to respond? What would you do first, second, and through the entire emergency? Many agencies plan for just such a possibility; they prepare before disaster strikes. The worst part of a crisis is being unprepared.

The devastation of Ground Zero, the debris from Hurricane Katrina, and California's massive fire storms remind us of the emotional and monetary cost when disaster strikes. While we may not be able to stop these forces, we can plan to lessen their devastation.

The crises faced by your agency may include natural disasters (hurricanes, floods, tornados), accidents (falls, fires, car crashes), attacks (robberies, hostage takings), or personal and group crises like a heart attack or a flu epidemic. Your response to each will have similarities.

Emergency Management Plan

Every agency needs an Emergency Management Plan (EMP). This plan may be an in-depth 100-page plan complete with flow charts or a few basic principles on a single page, depending on the needs.

A good plan first involves a risk assessment that identifies the types of disasters most likely to occur and how best to protect personnel and resources in each scenario. The plan will include how to save lives and evacuate employees and clients if necessary, how to protect employees who remain on the job and get information about their well-being to family, how to preserve computer files and the agency's written documentation, and how to communicate with the rest of community and nation about the condition and continued work of the agency.

If you, on behalf of your team, are responsible for being prepared in an emergency, it may be helpful to consider the following list of emergency questions and tasks. Remember, your goal is get the agency working again; running well as quickly as possible.

- **Safety and Evacuation** – Protecting lives should be the top priority of any EMP, which ideally specifies:
  - Who will inform new employees about safety and emergency procedures
  - Who will be posting and periodically briefing all personnel on revisions to the procedures
  - Where an accessible outline of basic safety procedures is located
  - Where the gas and electricity shut offs are located
  - What the emergency numbers such as police, fire and ambulance are
  - Who is in charge in each emergency and what the ways to contact that person are
  - What fastest and safest way out of the building is and where employees should congregate when out of the building
- **Protecting Employees** – Create an emergency personnel file containing a card for each employee that lists names to call in an emergency and provides medical information.
  - Train all employees in first aid and cardiopulmonary resuscitation (CPR).
  - After a disaster, watch for signs of stress in the staff to determine if they need special help.

- **Computer and Paper Files** – next to employees, an organization's most valuable assets may be paper files and computer disks containing organizations records.
  - The EMP should outline three categories of records—useful, important and vital—and have an emergency plan for each category. For example:
    - **Useful** documents are everyday documents that can easily be recreated and might be stored on a hard drive.
    - **Important** documents that can be recreated with some effort might be stored on both the hard drive and back-up disks kept in the office.
    - **Vital** documents might be stored both in the office and in a secure location off site such as a warehouse, a safety deposit box, or another regional office.
- **Effective Communicatio**n – The message the organization conveys after a catastrophe can actually determine the recovery of that organization.
  - Keep in contact with the people most important to any organization—the employees, customers, vendors and banker.
  - Designate one person to deliver a carefully worded message of the organization's intent to recover and any other relevant details.
  - An EMP could establish a telephone tree to reach employees. Update the telephone tree list annually and give a copy to each employee to take home.
- **Insurance Coverage** – Every EMP should have procedures for making sure insurance coverage is adequate and up-to-date.
  - Most organizations have at least two major types of risk: property loss and liability insurance.
  - The EMP should detail the insurance coverage and claim procedures.

SECTION 10 MANAGING CHANGE

Housing authorities, as well as many other institutions, are looking for ways to change how work is done to increase flexibility and effectiveness. Decreased funding, the transition to project-based and asset management, technology, more accountability, and transformation at HUD are all driving organizational change in housing authorities.

You may be preparing to take a leadership role in the change in your organization. Good for you! Embracing change as opportunity is a productive and positive stance to assume in today's atmosphere of rapid change.

What You'll See as the Organization Changes

Successful change involves management, the board and chief executive officer, and may follow some of these best practices:

- Agency will develop a realistic plan and implement it as a team effort. Communication will be thorough, consistent, and frequent.
- Departments, policies, and procedures in the agency may change. Again, communication, both in writing and verbally, will help employees understand the "why" as well as the "what."
- Management may hire a consultant to assist with the change, assigning one person to be responsible for coordinating the change effort, and/or work with a team of employees to manage the change. These assignments are known to everyone.
- Monitoring performance of the agency through the change process will ensure that key functions remain on track: for example, SEMAP and PHAS tracking happens monthly to ensure that performance doesn't slip.
- Agency will acknowledge and celebrate the accomplishments of change.

What You May Experience as Your Agency Changes

There is usually strong resistance to change in an organization and it often comes from the supervisors! Many supervisors feel they have a tenuous, at best, hold on their team's attention, production, and skills. Change can unsettle that hold or understanding.

Supervisors may feel that the change is happening to them rather than because of their leadership or input. People are afraid of the unknown.

Sometimes there are conflicting goals in the organization or conflicting goals between the organization and the supervisor. Supervisors may be further frightened or suspicious of changes that run contrary to their personal or professional values.

Managing Your Staff Through Change

Nothing is as upsetting to your people as change. Nothing has greater potential to cause failures, loss of production, or falling quality. Yet nothing is as important to the survival of your organization as change. History is full of examples of organizations that failed to change and that are now extinct. The secret to successfully managing change, from the perspective of the employees, is definition and understanding.

Resistance to change comes from a fear of the unknown or an expectation of loss. If you try and bulldoze this resistance, you will fail. Instead, you overcome the resistance by defining the change and by getting mutual understanding.

Definition

On the front end, you need to define the change for the employee in as much detail and as early as you can. Provide updates as things develop and become clearer. In short, tell employees what's going on.

Definition is a two-way street. In addition to defining the problem, you need to get the employees to define the reasons behind their resistance.

Understanding

Understanding is also a two-way street. You want people to understand what is changing and why. You also need to understand their reluctance.

You have to help your people understand. They want to know what the change will be and when it will happen, but they also want to know why. Why is it happening now? Why can't things stay like they have always been? Why is it happening to me?

It is also important that they understand what is not changing. Not only does this give them one less thing to stress about, it also gives them an anchor, something to hold on to as they face the winds of uncertainty and change.

Manage Change

Don't waste time wishing people were more predictable. Instead, focus on opening and maintaining clear channels of communication with your employees so they understand what is coming and what it means to them. They will appreciate you for it and will be more productive both before and after the change.

Chapter 5 - My Career Map

Describe here what you learned about your motivation, your team, how you delegate work, and how you can make decisions. These activities are on pages 5-11, 5-22, and 5-54. We will return to this information again as you move through this course.

Who and Where I Am	NOW	Who and What I Want to Be	What I Will Do	Date
What Motivates Me?:				
Team Productivity				
My Team Stage:				
How I Delegate:				
How I Make Decisions:				
How I Manage Change:				
How I Manage for Diversity				
How I Manage Conflict				

SECTION 11 CHAPTER 5 POST TEST

1. Everyone is motivated by the same thing.
   a. True
   b. False

2. The expected stages of behavior as a team matures could be described as:
   a. Conflict management, decision-making, and delegation
   b. Getting it started, getting it going, but not necessarily getting it done
   c. Having arguments and then resolving all differences
   d. Forming, storming, norming, and performing
   e. Acceptance, denial, debate, and friendship

3. A supervisor can inspire others by setting an example.
   a. True
   b. False

4. A supervisor can require his or her employees to feel motivated.
   a. True
   b. False

5. A key to productivity in the workplace is when:
   a. Everyone has a nice office
   b. The manager expects everyone to be busy
   c. Everyone knows what is expected of him or her
   d. The agency adheres to the rules
   e. The manager demands productivity

6. A manager should establish different performance standards for each employee, in order to motivate employees based on their particular interests or values.
   a. True
   b. False

7. A basic principle in delegation is to:
   a. Let the employee determine his or her own timeline
   b. Not set any interim milestones/checkpoints for a long-range assignment
   c. Giving the employee specific instructions about exactly how to do each task in the assignment
   d. Blame the employee if the assignment is not done well
   e. Be very clear about the task to be accomplished

8. A multi-skilled and efficient staff is less important to an effective organization than a flat organizational structure.
   a. True
   b. False

9. A new supervisor or manager should generally not delegate, as it is important to establish competency at first.
   a. True
   b. False

10. New behaviors, regardless of how the supervisor feels, will be necessary during organizational change.
    a. True
    b. False

11. Managers and employees can both welcome change and resist it.
    a. True
    b. False

12. During times of significant organizational change, probably the most important principle is to:
    a. Just do it and ignore resistance
    b. Develop a realistic plan and communicate often
    c. Hire a consultant to help facilitate the change
    d. Delegate effectively
    e. All of the above

13. Brainstorming is an effective method of decision-making in a crisis.
    a. True
    b. False

14. Key elements of any emergency management plan (EMP) should include protecting lives and communication before, during, and after an emergency.
    a. True
    b. False

15. Conflict can be very disruptive in the workplace, therefore:
    a. The supervisor or manager should forbid interpersonal conflict
    b. The supervisor or manager should avoid conflict
    c. Handling conflict productively is an important skill for supervisors and managers
    d. Conflict should be referred to HR, since the supervisor or manager is not best equipped to deal with it
    e. A good team should rarely experience conflict

16. When groups or teams form, they typically go through stages or phases. The expected stages of forming, storming, norming, and performing, are always linear - they always go forward in this progression.
    a. True
    b. False

17. You are the manager of a new team (new blended occupancy project, or new HCV team). As the leader of this brand-new team, you would focus on all of the following except:
    a. You would understand that it will take some time for team members to get acquainted and learn how to work together
    b. You would facilitate discussion of the common mission and goals
    c. You would allow others to take control from the beginning
    d. You would ensure that everyone feels included
    e. You would make sure that the expectations of the team are clear, and monitor that expectations are being met

18. Consensus is never a valid method for team decision-making, as the supervisor should never leave room for discussion.
    a. True
    b. False

19. When would brainstorming be the most effective way to make a decision?

____

____

____

____

____

20. Which of the following statements is true?
    a. Teams perform best when all team members have the same set of skills
    b. Well-managed, diverse teams perform best
    c. Teams perform best when team members have the same backgrounds and ways of looking at life
    d. When team members are most like the boss, teams perform best
    e. Teams work best when everyone decides for himself or herself what is expected of him or her

SECTION 12 CONTINUED LEARNING

Employee Recognition Program

Goal: To assure high performance, employee retention, employee work ethic, and team cohesion

Purpose Statement: To promote and reinforce work that contributes to and supports the goals of the HCV department and strategic plan.

Important Characteristics/Outcomes for Parties Involved:

Executive Team	Supervisors	Employees
Increased Productivity and Accuracy	Efficient Administration	Recognition for Performance
Return on Investment	Motivates Staff	Enhance Staff Morale
Improve Attitudes	Creates Pride	Timeliness of Recognition of Efforts
Build Loyalty and Commitment	Meet Performance Objectives	Award for Commitment to NMA
Generate Positive Feedback	Involves All Employees	Fosters Open Communication and Appreciation
Empowers Workforce	Develops a Team Atmosphere	Fosters Independent Thinking and Pride in Work

1. **Quarterly Team Award**
2. **Team of the Year Award**
3. **Quarterly Behind the Scenes Award**
4. **Behind the Scenes Yearly Award**
5. **Random Recognition**
    a. 'Stress Support Kit' – including aspirin, joke, little toy, candy, stress ball, etc

Employee Recognition Program

Criteria:

Quarterly Team Award

- Quality of work (QC Results): 90% +
- % of work completed on time: 95% +
- % of Salesforce cases completed: 95% +
- Attendance, Punctuality: Team with fewest days missed

Team of the Year Award

- Quality of work (QC Results): 90% +
- % of work completed on time: 95% +
- % of Salesforce cases completed: 95% +
- Attendance, Punctuality: Team with fewest days missed

Quarterly Behind the Scenes Award (Support Departments)

- Work level above and beyond in supporting NMA to meet contractual obligations
- Attendance, Punctuality: $\leq$ 2 days missed/quarter; $\leq$ 2 late days/quarter
- Nomination and write-up from Supervisor

Behind the Scenes Yearly Award

- Work level above and beyond in supporting NMA to meet contractual obligations
- Attendance, Punctuality: $\leq$ 6 days missed; $\leq$ 6 late days
- Nomination and write-up from Supervisor

Recommendation and Approval:

- Team Awards will be decided using data from QC Results, SharePoint, Salesforce, and ADP
- Support Department Awards will be based on nomination and write-up from Supervisor and decided upon by executive management team.

Awards:

- Quarterly Team Award – $500/Team or Luncheon
- Team of the Year Award – Dinner hosted by Executive Team
- Quarterly Behind the Scenes Award – Monetary Award equal to Quarterly Team Award allocation or Luncheon
- Behind the Scenes Yearly Award – Dinner hosted by Executive Team

Recognition:

- Awards announced during the last All Staff Meeting of the quarter
- The award recipients listed on the All Staff Meeting Agenda
- Award descriptions and recipients of the awards listed on ADP homepage
- Certificate for each quarterly award recipient
- Plaque/small trophy for each yearly award recipient

Quarterly Behind the Scenes Award
Supervisor Nomination Form

Positions eligible for this award include: Administration Analysts, Administrative Assistants, Internal Support Team Clerks, Management Analysts, Quality Control Specialists and Receptionists.

Submission deadlines are as follows:
1st Quarter – January through March; **deadline is April 5th**
2nd Quarter – April through June; **deadline is July 5th**
3rd Quarter – July through September; **deadline is October 5th**
4th Quarter – October through December; **deadline is January 5th**

Name of Nominated Employee:	**Today's Date:**
Nominated Employee's Position and Department:	**Name of Nominator and Position:**

WHAT MAKES THE EMPLOYEE DESERVING OF THIS AWARD?
Complete this form to the best of your ability. Please be specific in your descriptions and use examples, if possible. If additional space is needed, please attach additional notes to this form.

1. **Rate the following:**

Outstanding Work Performance Traits	Not Applicable	Poor	Fair	Good	Excellent
Dedication & Initiative	N/A	1	2	3	4
Leadership	N/A	1	2	3	4
Customer Service Skills	N/A	1	2	3	4
Reliable	N/A	1	2	3	4
Technical Proficiency	N/A	1	2	3	4
Work Accomplishment Ability	N/A	1	2	3	4

2. **Job Accomplishments:** This includes changes or improvements to existing procedures, systems, and/or service delivery; changes that have improved the functioning of the department; and changes or accomplishments that support or further NMA's mission.

3. **Other Information:** This includes any other information that is relevant to the nomination. Examples include: QC results, personal accomplishments (attainment of degrees or other education, certificates, recognition and/or awards); community contributions, etc.

4. **Please use this space to provide any additional information:**

Nominator Signature: **Date:**

Committee Receipt of Nomination: **Date:**

Program Director Approval: **Date:**

Ways to Lead in a Changing Organization

Price Pritchard and Ron Pound, two leading authorities on change, in their *Survival Guide to The Stress of Organizational Change*, say that doing what comes naturally in the face of change will cause us nothing but problems.

New behaviors, regardless of how the supervisor feels, will be necessary during organizational change. Supervisors will need to take a lead during change. They will need to keep a clear head and act in ways that they may not feel.

Pritchard and Pound offer sound guidelines for these times:

Shift From	Shift To
Deciding Not to Change	Deciding to Change
Acting Like a Victim	Being Mentally Ready
Playing the Old Game	Playing the Game by the New Rules
Expecting No Stress	Accepting the Stress
Controlling the Uncontrollable	Remaining Flexible
Choose Your Own Pace	Moving at the Pace of the Organization
Hold on For Dear Life	Giving Up the Expendable Things
Slowing Down	Keeping Pace
Being Afraid of the Future	Embracing the Unknown Future
Picking the Wrong Battles	Giving Up on Un-winnable Battles
Unplugging from the Job	Staying Engaged in the Organization
Avoid New Assignments	Take New Assignments
Eliminate Uncertainty	Embracing Uncertainty
Expect to be Comfortable	Making Yourself Comfortable
Expect Stress Reduction	Managing Your Own Stress

Change and Innovation Decision-Making Template	
1.1 Take a look around your environment (home, family, business, personal). What issues do you see ongoing that you have not managed yet?	
1.2 What has stopped you from managing them until now?	
2.1 What would you need to see/hear/feel to recognize when it was time to do something different?	
3.1 What criteria do you use to decide what aspects of the situation need to be changed?	
3.2 Which aspects should stay the same?	
3.3 What is the difference between the two?	
3.4 And how will you know if you've chosen the appropriate elements for each?	
4.1 How will you decide who would need to be brought into the 'change' conversation to ensure you have buy-in from interested parties?	
4.2 How do you plan on bringing them into the decisions you need to make?	
4.3 How will you know that they are indeed supportive of your change issues?	
4.4 How will you know if they are not supportive?	
4.5 How will you manage the situation if they believe they will be harmed by the change?	
5.1 How will you and your decision partners determine all of the aspects that need to be managed?	
5.2 What elements of the situation need to be shifted first?	
5.3 What elements of the situation need to be shifted second?	
5.4 How will you handle differences of opinion?	

Change and Innovation Decision-Making Template	
6.1 How will you monitor your process?	
6.2 How will you know if/when you are going off course and need additional support (possibly from the outside)?	
6.3 How will you and your decision partners help you in your monitoring?	
7.1 What will success look like?	
7.2 How can you be sure that the problem will remain solved over time?	
8.1 What does follow up and follow through look like?	

If you attempt change of any sort before addressing these issues you might find that you are building on sand. When you complete this template by answering these questions you will have a better platform for change and innovation. How exactly you proceed from here depends on the situation.

LEARNING ACTIVITY 5-5: Optional Learning Activity

UNDERSTANDING WHAT YOU CARRY IN TO THE JOB
ASSESSMENT – CATEGORY 1

Profile 1A – Respond to the following questions:

• When you first meet a new boss or have a new employee or colleague, do you bring that person a plant, a coffee mug, or some other item to make him or her feel welcome?	Yes ❒	No ❒
• Do you make sure the office is ready – clean and organized – for his or her arrival?	Yes ❒	No ❒
• Do you make it your business to find out how your boss takes his or her coffee and what his or her favorite foods/drinks are?	Yes ❒	No ❒
• Do you know the personal stories – marital status, medical conditions, financial woes – of everyone at your job?	Yes ❒	No ❒
• Do your coworkers come to you for tissues, candy, or a quick cry?	Yes ❒	No ❒
• Do you frequently volunteer to help out when others are drowning?	Yes ❒	No ❒
• Do you keep the office birthday list on your computer?	Yes ❒	No ❒
• If you are excluded from an important meeting, project, or initiative, do you worry that you aren't needed?	Yes ❒	No ❒
• If you accidentally forget the birthday of your boss, co-worker or employee, do you scold yourself?	Yes ❒	No ❒

Total "Yes" responses: ☐

Profile 1B – Respond to the following questions:

	Yes	No
• If you have a new boss, colleague, or employee, do you naturally greet him or her with a warm welcome?	Yes ❐	No ❐
• Do you ask your boss, colleague or employee questions to show that you care about his or her well-being?	Yes ❐	No ❐
• Do you secretly hope that your boss feels comfortable and at ease in your company?	Yes ❐	No ❐
• Do you gladly take on responsibility as long as it doesn't infringe on someone else's territory at work?	Yes ❐	No ❐
• Do you pride yourself in being a team player?	Yes ❐	No ❐
• Do you find it easy to have conversations with just about anybody?	Yes ❐	No ❐
• Do you sometimes tell white lies to bring people together or make people feel better?	Yes ❐	No ❐
• Do you have a hard time asking your boss for raises or promotions?	Yes ❐	No ❐
• If you need to have a difficult conversation with an employee or your boss, do you carefully prepare what you're going to say?	Yes ❐	No ❐
• Does the thought of making a mistake or causing a problem fill you with dread?	Yes ❐	No ❐

Total "Yes" responses: ❐

ASSESSMENT – CATEGORY 2

Profile 2A – Respond to the following questions:

- If you have a new boss, do you naturally seek that person out before everyone else and introduce yourself? Yes ❒ No ❒
- Do you feel an urgent need to convey your importance to your boss, colleagues, and/or employees? Yes ❒ No ❒
- Do you secretly hope that someone has already told your boss how terrific you are? Yes ❒ No ❒
- Do you like tackling big projects where you are seen as the leader and trailblazer? Yes ❒ No ❒
- Do you welcome opportunities to speak publicly or present information to large groups of people? Yes ❒ No ❒
- Are you at ease with communicating your ideas to others, including people in positions of authority? Yes ❒ No ❒
- If your boss takes responsibility away from you, do you feel deflated and held back? Yes ❒ No ❒
- If your boss doesn't publicly acknowledge you or give you credit for your work, do you become unmotivated and resentful? Yes ❒ No ❒
- If you work for someone who repeatedly overrides your decisions, do you get furious and start looking for a new job? Yes ❒ No ❒
- If you're excluded from an important meeting, project, or initiative, do you think that it must be a mistake and insert yourself anyway? Yes ❒ No ❒

Total "Yes" responses: ☐

Profile 2B – Respond to the following questions:

- If you have a new boss, are you eager to introduce yourself and impress that person with your knowledge? Yes ❐ No ❐
- Do you get a kick out of saying something slightly provocative to people in positions of authority? Yes ❐ No ❐
- Do you secretly hope that your boss recognizes your ideas as more insightful and innovative than anyone else's? Yes ❐ No ❐
- Do you like to take on responsibility as long as you can do things your way? Yes ❐ No ❐
- Are you the one who others count on to challenge the status quo at a staff meeting? Yes ❐ No ❐
- Do you feel it's up to you to state the uncomfortable truth? Yes ❐ No ❐
- Are you a natural advocate for people who are underrepresented or downtrodden? Yes ❐ No ❐
- Are you frequently called into your boss' office and reprimanded for a lack of diplomacy? Yes ❐ No ❐
- Do you see yourself as someone who will always fight for what you believe in? Yes ❐ No ❐
- If your boss ignores or minimizes your input, do you find ways to speak up? Yes ❐ No ❐

Total "Yes" responses: ☐

ASSESSMENT – CATEGORY 3

Profile 3A – Respond to the following questions:

- If you have a new boss, colleague, or employee, do you hang back and study his or her behavior? Yes ❐ No ❐
- Do you need to wait and see if you respect your boss before you can work hard on his or her behalf? Yes ❐ No ❐
- Do you secretly hope that the boss will grant you enough independence to accomplish your work without interference? Yes ❐ No ❐
- Are you someone who speaks up in large groups only when you have something to say? Yes ❐ No ❐
- Do you quietly lead your boss to give you more responsibility in the areas that are interesting to you? Yes ❐ No ❐
- Do you want your expertise to be rewarded without having your work style scrutinized? Yes ❐ No ❐
- Before speaking in public or running a meeting, do you need ample time to prepare your thoughts? Yes ❐ No ❐
- When given a new assignment, do you fear that you cannot deliver results fast enough for your boss? Yes ❐ No ❐
- Does a demanding boss or aggressive employee trigger feelings of panic in you? Yes ❐ No ❐
- Do you fear being caught off guard or unprepared by your employees, colleagues, or boss? Yes ❐ No ❐

Total "Yes" responses: ☐

Profile 3B – Respond to the following questions:

- If you have a new boss, colleague, or employee, do you naturally hang back, waiting for that person to approach you? Yes ❐ No ❐
- When meeting with a new boss, do you bring samples of your work, hoping it will speak for you? Yes ❐ No ❐
- Do you wish that your boss would give you interesting assignments and then leave you alone to complete them? Yes ❐ No ❐
- Do you like to be acknowledged for a job well done, even though you may feel embarrassed by the attention? Yes ❐ No ❐
- Do you avoid collaborating with others? Yes ❐ No ❐
- Do you steer clear of situations where you'd have to speak publicly or give a presentation to a large group of people? Yes ❐ No ❐
- Do you find it challenging to communicate effectively when you disagree with others? Yes ❐ No ❐
- When you need to ask for something from your boss (such as a raise or time off), do you get nervous and avoid doing it? Yes ❐ No ❐
- When your boss is in a bad mood, or when an employee is being more aggressive than usual, do you avoid contact by hiding behind your work? Yes ❐ No ❐
- In meetings, are you the quiet listener who secretly judges everyone? Yes ❐ No ❐

Total "Yes" responses: ☐

ASSESSMENT – CATEGORY 4

Profile 4A – Respond to the following questions:

- When you meet a new boss, colleague or employee, do you try to connect by telling a person story about yourself? Yes ❐ No ❐
- Do you watch for the boss' or employee's reaction to see if he or she is listening and receptive to you? Yes ❐ No ❐
- Do you hope that your employer values your detailed accounting of events that occur both inside and outside of the office? Yes ❐ No ❐
- Are you happy to take on new responsibilities as long as you know exactly what is expected of you? Yes ❐ No ❐
- Are you good at mapping out projects and figuring out the details? Yes ❐ No ❐
- Do you perform best with a boss who is available to answer questions and willing to receive frequent progress reports? Yes ❐ No ❐
- If someone interrupts you while you're recounting an experience, do you feel an urgent need to return and complete the story? Yes ❐ No ❐
- Do you feel hurt or insulted when someone doesn't want to hear what you have to say or cuts you off? Yes ❐ No ❐
- Have you ever been reprimanded for talking too much? Yes ❐ No ❐
- Do you feel mortified when you make a mistake? Yes ❐ No ❐

Total "Yes" responses: ☐

Profile 4B – Respond to the following questions:

- If you have a new boss, colleague or employee, do you immediately check to see if he or she has a sense of humor? Yes ❒ No ❒
- Do you look for opportunities to disarm your boss or colleagues with witty or funny remarks? Yes ❒ No ❒
- Do you work hard to create a positive, professional, can-do work environment? Yes ❒ No ❒
- Do you secretly try to maintain harmony by intercepting your boss' bad moods? Yes ❒ No ❒
- Are you frequently given additional responsibilities because of your efficient and organized work style? Yes ❒ No ❒
- Do you ever feel pressured to maintain an upbeat, entertaining veneer at work? Yes ❒ No ❒
- Do you consider yourself to be an independent thinker and operator? Yes ❒ No ❒
- Are you generally unaffected by a person's title or position in the agency hierarchy? Yes ❒ No ❒
- If someone speaks to you in a condescending tone, do you see red? Yes ❒ No ❒
- Do you sometimes worry that you aren't being taken seriously enough? Yes ❒ No ❒

Total "Yes" responses: ☐

ASSESSMENT – CATEGORY 5

Profile 5A – Respond to the following questions:

- If you have a new boss, do you try to impress this person with your relaxed, friendly attitude? Yes ❐ No ❐
- Do you work hard to charm your boss and win his or her friendship? Yes ❐ No ❐
- Do you secretly hope that your boss won't pressure you or criticize you? Yes ❐ No ❐
- Do you like to work on small projects where you can control the pace? Yes ❐ No ❐
- Do you avoid taking on any additional responsibilities that will cut into your personal life? Yes ❐ No ❐
- Do you encourage your overworked colleagues to do less and relax more? Yes ❐ No ❐
- Do you welcome non-work-related office activities such as birthday parties, sports events, and company picnics? Yes ❐ No ❐
- Do people in positions of authority often tell you that you're not working to your full potential? Yes ❐ No ❐
- Do they ever ask you to take on more responsibilities and work harder? Yes ❐ No ❐
- Is that kind of feedback very stressful to you? Yes ❐ No ❐

Total "Yes" responses: ☐

Profile 5B – Respond to the following questions:

- If you have a new boss, do you naturally sit back and wait for that person to approach you? Yes ❐ No ❐
- Do you look to your boss to define your job and lay out explicit expectations of you? Yes ❐ No ❐
- Do you secretly hope that your boss will dole out work in small, simple assignments where there is little room for error? Yes ❐ No ❐
- Do you steer clear of projects that appear challenging and demanding of your time? Yes ❐ No ❐
- If you are asked to take on additional responsibilities at work, do you first consider whether it is an appropriate request considering your job description? Yes ❐ No ❐
- Do you pride yourself on living a balanced life and protecting your time outside of the workplace? Yes ❐ No ❐
- Do you often feel that you could produce more if you were given better direction from those who supervise you? Yes ❐ No ❐
- Do you keep track of your company's policies regarding work hours, attendance, benefits, vacation, because you want to protect your rights in these areas? Yes ❐ No ❐
- Have you ever been reprimanded for not giving 100 percent to your job? Yes ❐ No ❐
- Does the thought of making a mistake sometimes prevent you from taking action? Yes ❐ No ❐

Total "Yes" responses: ☐

ASSESSMENT – TALLYING YOUR RESULTS

Congratulations! You've answered the yes/no questions for each of the profiles. It's time to tabulate your scores. Go back to the bottom of each description and transfer your score on that page to the score grid that follows, then fill out the list of your top three profiles.

Scores

Profiles

Category 1A		Nurturer
Category 1B		Harmonizer
Category 2A		Star
Category 2B		Challenger
Category 3A		Observer
Category 3B		Worker Bee
Category 4A		Storyteller
Category 4B		Disarmer
Category 5A		Coaster
Category 5B		Low Beamer

My top three profiles:

1. ______________________________

2. ______________________________

3. ______________________________

ASSESSMENT – PUTTING IT TOGETHER

Your top two or three profiles are your baggage profile. Now just observe yourself as you interact with your boss, a difficult colleague, a much-liked employee, a customer, a board member. If the relationship is going well, the person is probably able to meet your needs and expectations to some extent, and your fears are minimal. If the relationship is challenging or difficult, your needs and expectations probably aren't being met, and your fears are activated. We'll discuss strategies for depersonalizing when the relationship is a problem for you.

CATEGORIES

Caregiver

If you are a Nurturer or a Harmonizer, you belong in the **Caregiver** category. These are the employees who feel emotionally responsible for making the boss and others feel good at work.

> **Nurturers** are the unpaid social workers at work. These are the people who embody care and concern for others. Nurturers naturally tune in to their boss' and employees' needs. When it comes to workload, Nurturers like to be needed. They are always willing to pitch in and help out, and aren't afraid of getting their hands dirty. They like to support causes and help in any way they can.
>
> **Harmonizers** are friendly, warm, and caring. These are the people who discriminate the lease and generally don't judge books (or people) by their covers. Harmonizers pride themselves on figuring out how to get along with anyone. They aim to be model team players. Harmonizers need to be liked and gladly take on responsibilities that will relieve the boss or reduce stress for the staff. Harmonizers fear encroaching on someone else's territory or ruffling anyone's feathers. They look for common goals and strive for cooperation.

The Extroverts

If your profile is a Star or a Challenger, you belong in the **Extrovert** category. These are the employees expect to be seen, heard, and respected at work.

> **Stars** are warm and engaging and have a knack for connecting with people. They're natural people persons. Most Stars have a good sense of humor and are generous with their ideas and knowledge. Stars like to be visible, so they take on responsibilities where they're sure to be seen. They strive to grow professionally and work hard to make their mark in the company. Stars value constructive criticism and welcome opportunities for training and advancement. They don't mind working hard as long as they're recognized as important members of the team.

Challengers question authority. These innovative thinkers have a hard time trusting anyone who wields power over them. Their bosses must provide themselves worthy of respect. Challengers want to be recognized for their fresh ideas and smart approach to tackling problems. They have a competitive spirit and like to win. They make uncomfortable-but-true statements at a meeting. Challengers feel they have to speak up, because if they don't know one else will. They have an instinctive concern for fairness.

The Introverts

If your profile is an Observer or a Worker Bee, you are in the **Introvert** category. These employees don't seek high visibility and prefer minimal fanfare. They wish to be given a job and the freedom to do it. Once finished, they'll welcome appreciation.

The Observer is a deep, quiet thinker who watches his or her boss and colleagues to see who they are. These are the cool cats of the workplace. Observers are naturally skeptical of authority – you have to prove that you're worth of their time and effort. Observers are excellent workers who need to take the situation in before they take action; they're process-oriented and don't like being pressured to do something before they're ready. The Observer's motto is: "Never let them see you sweat." Once an authority figure wins their respect, Observers work diligently for that person. They don't speak unless they have something to say but when they do speak, they expect you to listen.

Worker Bees are smart, capable and diligent—these are the backstage workers who want to do their jobs, achieve good results, and avoid interpersonal conflict. They are often the quiet experts. Unlike Stars, who need to be visible, Worker Bees prefer a quiet round of applause for their efforts. They want their work to speak for itself. They are good listeners but can be poor communicators when it comes to speaking up on their own behalf. And they have a hard time effectively expressing contrary opinions. They are very uncomfortable with conflict of any kind. Emotional outbursts scare them.

The Wordsmiths

If your profile is a Storyteller or Disarmer, you are in the **Wordsmith** category. Gifted communicators, this group of employees relates through the spoken and written word.

The Storyteller is a friendly, outgoing, chatty person who shares personal stories in order to connect with others. A Storyteller is the opposite of an Observer. Whereas the Observer sizes people up and then speaks, the Storyteller speaks in order to size people up. Are you listening? Do you care? These folks bond through conversation, and expect the boss, colleagues and employees to be interested. Once a Storyteller feels heard, he or she will gladly take on responsibilities. Because they want to do the job right, they need clear, detailed instructions, especially for new projects. They also need access to decision-makers so they can ask questions and give progress reports. They don't like to make mistakes. Storytellers respond well to words of appreciation and acknowledgement.

The Disarmer is highly responsible, very independent, and very funny. The Disarmer is great at winning over the boss and colleagues with humor. Disarmers use words, gestures, and timing to make others laugh and cut tension when it arises. They also have a knack for completing work assignments in an organized, efficient manner. Disarmers can deliver information in a way that leads to minimal emotional distress, and can emphasize the positive side of any difficulty. Disarmers don't really see the hierarchy at work – everyone is equal in their eyes. As a result, they don't like condescension or being spoken down to.

The Mellows

If your profile is a Coaster or Low Beamer, you belong to the **Mellows** category. These individuals have little interest in climbing the corporate ladder. They'd prefer to do their job and go home.

The Coaster shows others at work how to relax. He or she tries to take everything in stride and doesn't take work home. A job is a job. It should pay the bills. Coasters consider it their job to make everyone (including the boss) feel good. They also see themselves as the voice of reason that encourages others not to work too hard. Coasters attend company parties and are willing to organize activities that lift morale.

The Low Beamer approaches authority in a cautious, risk-averse manner. He or she wants to stay off the radar and keep interactions friendly and neutral. These employees are usually intelligent, skilled and capable, but they don't always give 100% to their jobs. Low Beamers need everything spelled out so they don't have to risk making the wrong decision. They require specific directions – they like to play by the rules. Because they don't like making mistakes, they may wait for specific instructions while others on the team seem busy and overwhelmed. Low Beamers work best under attentive, detail-oriented managers.

CHAPTER 6 Managing Job Performance

Learning Outcomes

Explain the purpose and steps in meaningful performance evaluations.

Recognize the key functional areas supervisors and managers oversee in a housing authority.

Identify performance issues, differentiate between job performance problems and misconduct, and discuss the process in managing them.

Consider different factors when taking corrective action.

Discuss strategies and techniques for managing difficult employees.

Recognize the important elements in staff and career development.

Overview

Managing means getting things done through others. Managing employee performance every day is the key to an effective performance management system. Setting goals, making sure your expectations are clear, and providing frequent feedback helps people perform most effectively.

Yet, a common experience among supervisors is having no clear, strong sense of whether their employees are effective. A supervisor who has completed, or has available, a set of job competencies, job descriptions, and clear performance standards for each position is not likely to experience this concern.

Knowledge of these steps leads to a complete understanding of what is expected in each position and provides the supervisor with an opportunity to identify problems and correct them if they arise.

In the next chapter, we will discuss the quality control tracking systems needed to round out your toolbox and enable you to evaluate by facts—not opinions or guesses. This chapter gives you the understanding and process; the next chapter gives you the tools.

If you follow the principles and practices of good supervision discussed in these chapters, nothing should be truly surprising to the employee.

SECTION 1 EMPLOYEE PERFORMANCE EVALUATIONS

Effective performance evaluation procedures include valid steps for a probationary period, a standardized performance evaluation form, a performance evaluation interview, a grievance procedure, and an ongoing performance improvement plan.

Steps for Performance Evaluations

The steps in effective performance evaluation procedures must be related specifically to the job of the employee. The steps must also be based on a thorough job analysis and guided by an accurate, current job description and performance standards. Just as important, these steps must be standardized for all employees.

And, of course, the agency's obligation to affirmatively further fair housing means that the evaluation process must not be biased against race, color, sex, religion, disability, family status, or nationality.

If you're called upon to do a performance evaluation for an employee, it's important that you have adequate knowledge of the person, the job, and the performance.

In your agency, these processes were likely designed by the human resources department, reviewed by legal counsel, approved by the board of directors, and included in written policy documents.

The Probationary Period

Most housing authorities include in their hiring protocol a probationary period within which each new employee must demonstrate their ability to meet the performance standards and display the competencies required in that position.

You assume that the new employee brought with him or her the ability to do the job, but it's during the probationary period that the new employee's competencies (knowledge attainment, skills, and abilities) must be carefully assessed and documented. It's far more traumatic and rigorous to terminate an unable or unwilling employee after the probationary period.

Your agency's personnel policies should describe probationary conditions.

Performance Review Forms

Many organizations design a standard form for performance reviews. Make sure that you rate the employee accurately by the scale on the form (e.g., meets or exceeds expectations, needs improvement, etc.). You're not doing anyone, including your agency, a favor by rating everyone as exceptional. No one is exceptional in all areas of their job.

Make sure that you put some time and thought into your narrative comments. These comments are the basis of communication during the review and provide important documentation for future promotional opportunities or for areas where improvement is needed.

The review should also include action plans to address improvements or career development plans.

Conducting Performance Reviews

Yearly performance reviews are critical. There are many benefits to the review—sometimes you aren't reminded of the benefits until you've done the review!

- Well-considered reviews remind employees of what's expected of them. They clarify employees' strengths and areas of needed development.
- Just as important, a review provides a professional format for the conversation between the employee and the supervisor. The process and the documentation will help you be accurate and honest in your relationships with your employees.
- In the end, effective reviews help supervisors evaluate the accomplishments of their entire team.

Avoiding performance issues ultimately decreases staff's morale, your credibility as a supervisor, and the agency's overall effectiveness.

You should give yourself and the employee enough uninterrupted time-at least an hour-for the review and for discussion. You need to prepare in advance, so give yourself some time to think, fill out the form, and write comments.

Performance Review Interviews

Several crucial steps lead up to the performance review interview. At the beginning of the performance management period, be sure to have the job description, performance standards, and rating factors for each position that reports to you, so that you can fairly evaluate each employee's performance.

For a new employee, it's important to schedule the first performance review in the middle of the probationary period, and schedule another review before the end of the probationary period.

For all employees, you should conduct a review every year on the employees' anniversary date or at intervals described in written policy documents.

- Be sure to let the employee know ahead of time that the performance review process is scheduled and what will happen during the review. A best practice at many agencies is for the supervisor to ask employees to list their major accomplishments and what they believe they could have done better. Then schedule the performance review.

Use the performance review form or format to record your input. Review performance reports and data on performance indicators and outcomes for the department, the team, and the employee.

- Record major accomplishments, strengths, and weaknesses according to the categories on the review form. Your agency's form may have a separate space for preliminary input by the employee, or you may be asked to incorporate the input from the employee into your record.
- Use examples of behaviors wherever possible. Address specific behaviors. The personhood of the employee should never be in question. Describe exactly the needed improvement in terms of behaviors and outcomes, as well as actions and training or development needed to reach these outcomes.
- Be sure to address only the behaviors of that employee, rather than the behaviors of other employees. Address only the behaviors that you saw with your eyes, or for which you have credible documentation, not characteristics of personalities or hearsay.
- During the performance review meeting, remind yourself and the employee of the purpose of this review: to communicate about performance and achieving goals and to develop improvement or action plans where necessary.

- Be honest, direct, calm, and reasonable. Let the employee speak and provide input. Then discuss areas where you disagree. Strive for a balance of praise and constructive feedback. Encourage participation. Don't be afraid to ask if there's something you can do differently to help the person be more successful in their job. Modeling defenselessness helps the employee accept your feedback.
- While acknowledging recent improvement or recent problems, remember that it's important to evaluate the employee's performance for the entire rating period.
- Once again, discuss behaviors, not personalities. Don't use final terms such as “you always,” or “you never.” “You're not reliable,” isn't helpful. What is helpful are specifics: “You left work at least 45 minutes early six days last month without checking in with me.”
- Restate required performance goals, and ask the employee for suggestions on steps to achieve those goals. Where possible agree on actions.
- Try to end the meeting on a positive note. If it's been a difficult meeting, acknowledge that fact and thank the employee for any effort on their part.
- After the meeting, update and finalize the performance appraisal form. Usually a copy will be retained in your file and a copy sent to the HR representative.

The Grievance Procedure

Most agencies' performance evaluation steps have an avenue for grievance if an employee feels he has been dealt with unfairly.

This grievance procedure often involves the employee's right to file a written response with his performance review and/or discuss the issue with his supervisor's supervisor. The grievance protocol may afford the opportunity to have an objective third party in the organization evaluate the circumstances of the review and the employee's comments to determine the review's accuracy.

Any grievance protocol should allow the employee to have an advocate present at discussions and receive a written response to his concerns. And, of course, anyone can seek union representation, if covered by a union, and/or legal counsel.

The grievance process should be clearly described in written policy documents.

SECTION 2 MANAGING KEY FUNCTIONS IN A PHA

We will explore supervisory management of some of the key functions in the housing programs. Quality control systems and tools will be explored in more detail in the following chapter.

Managing and Supervising All Staff

Rules and Regulations

Management of HUD-funded programs must be firmly based on laws, the CFR, HUD handbooks, notices, FAQs, and guidance, and your agency's Admin Plan and ACOP.

Whether the manager fills the role of technical expert will depend on the size of the PHA and the nature of the program. In larger PHAs, executive and deputy directors might not work closely with HUD program regulations. Typically, program managers are the technical experts – your staff comes to you when they want answers. What is important is that *someone* is the technical resource to your employees – and that your employees have access to this person when they need it. In addition, the technical expert must help staff translate these references to the concrete situation with which they're dealing. Lastly, any changes in HUD regulations or guidance must be disseminated clearly to everyone who needs to know.

Roles and Responsibilities

As a supervisor or manager, it is your job to make sure that your staff understands their roles and responsibilities. When employees are not sure where their responsibility ends and another's begins, chaos and conflict can result. PHA policies are a roadmap, guiding staff in *what* they will do (or not do). However, procedures, protocols, and practices are the "driving directions", specifying the *who, when, where, and how*. You need to make sure these directions are clear so that staff knows what is expected of them.

Customer Service

Service-directed professionals understand that the essence of customer service is how they communicate and establish a relationship with those they serve. The relationship is the *quality* of the interaction. No one is perfect, but your commitment to do your best, every interaction and every day, sets the tone for your staff and allows you to insist on a high caliber of purpose and service to *everyone*.

Managing Occupancy Staff

In both the voucher and public housing programs, occupancy staff is responsible for many annual and interim activities. Briefings and voucher issuance, public housing orientations, reexaminations, notification of changes, self-sufficiency programs, and inspections are among the ongoing annual and interim program elements. Monitoring tools will be presented in the next chapter; quality control tracking tools are essential to evaluate if staff is meeting expectations and standards.

Tracking Performance

In order to supervise in a fair, fact-based way, it's essential to track performance of your staff and your program or function. Tracking and quality control will be discussed in the next chapter.

The Public Housing Program

The public housing functions include (but aren't limited to):

- The ACOP-managing policies, making recommendations/policy revisions
- Supervision and management of staff performance
- Tracking and reporting program performance
- Waiting list outreach, waiting list administration, intake and determining eligibility
- Tenant selection and screening, denials and informal hearings, vacant unit turnaround, unit offers
- HUD PH Waiting List Portal
- Lease-up and move-in inspections, resident relations, lease enforcement
- PIC and EIV
- Annual and interim reexaminations, flat rent, over-income families, quality control, community service
- Property management, maintenance oversight (work orders, make-readies, PHAS physical condition score), safety and security, insurance and risk management
- Occupancy rate, rent collection rate, damages above normal wear and tear, other tenant charges, repayment agreements
- Managing the budget
- PHAS oversight
- Terminations and grievance hearings
- NSPIRE/PHA inspections
- Reasonable accommodations and physical modifications
- VAWA compliance
- Procurement of goods and services for the properties, inventory, contract management
- Self-sufficiency programs and community collaboration
- Drug and crime elimination, working with local law enforcement
- Capital Fund coordination
- Safety

The Housing Choice Voucher Program

The HCV functions include (but aren't limited to):

- The admin plan-managing policies, making recommendations/policy revisions
- Supervision and management of staff performance
- Tracking and reporting program performance
- Waiting list outreach, owner outreach, waiting list administration, intake
- Determining final eligibility, denials and informal review hearings, voucher issuance, briefings
- Lease-up procedures, rent reasonableness, move-in inspections, HAP execution
- PIC and EIV
- Annual and interim reexaminations, quality control
- Landlord outreach and relations, enforcement of HAPC
- HQS/NSPIRE inspections
- Portability and moves
- Managing the budget
- Managing utilization, VMS, TYT, leasing plan
- SEMAP oversight and supervisory audits
- Terminations and informal hearings
- Reasonable accommodations
- VAWA compliance
- Self-sufficiency programs and community collaboration

SECTION 3 PERFORMANCE ISSUES

Introduction

You manage employee performance every day by setting goals, making sure your expectations are clear, and providing frequent feedback. So managing poor work performance should be part of an overall performance management process.

But the fact is, many organizations and their managers don't deal with poor performance - it's simply too hard. In a large workplace survey conducted in 2008, managing poor performance was the lowest-rated category, with many employees stating, “You're too tolerant of poor performance and you should do something about it.”

Poor work performance has a negative impact on productivity and workplace effectiveness. In addition, failure to address poor performance could cause resentment and have a negative impact on those employees who are performing satisfactorily.

It's important to differentiate between poor job performance and misconduct, as many companies use their disciplinary procedures to deal with poor performers. For an employee who is unwilling to perform or exhibits misconduct, the disciplinary process may be suitable. However, for an employee who wants to perform but doesn't have the knowledge, skills or ability, being exposed to the disciplinary process can be entirely demotivating.

The conflict created around managing poor performers is often a result of managers being ill-prepared. The objective of managing poor work performers is not to dismiss the employee but to ensure that they improve and accomplish the required work standards. Guidance, coaching, monitoring and training can help poor performers achieve this.

Where Does Poor Performance Come From?

The supervisor should look first to the organization—its procedures, policies, practices, and resources—for signs that the organization itself may not allow these employees to be successful.

Before identifying the employee as the problem, first look to see if there's a systemic problem—whether the agency's policies, procedures, and/or practices contributed to the employee's performance problems.

- For example, do your performance standards and policies make it very clear what's expected of the employee, and the criteria upon which they will be evaluated? Are they working to and being evaluated under clear standards? PHAS? SEMAP? Are rules of conduct clear? Does your agency have an ethics code?

If there are design, policy, and/or procedure problems, work to change the policies, get adequate resources, train staff and colleagues, communicate between key departments, and/or work to redefine strategic goals. When theses are established, communicate them clearly to employees.

When a supervisor deviates from written policies and procedures, it can be interpreted as changing the agency's policies. Despite the best policies, if what's generally accepted in the workplace is different than those policies, the generally accepted behaviors may be viewed as the de facto policies.

Next, be very honest with yourself. Are you part of the problem? You must be willing to examine your own behavior and actions before assuming that other employees' problems or behaviors are the cause of that problem. Only then can you get out of the way and be an effective supervisor.

Performance Issues

If design, policy, and procedures are not the underlying cause of an individual's poor performance, and carefully executed and evaluated training plans have not improved performance, then you, as the supervisor, must take action.

Follow very carefully the agency's policies and procedures regarding performance management and handling performance issues.

- Your agency's personnel policies and the process to be used in case of a performance problem should be described in detail. Follow this process, and always consult with your manager and HR representative when you perceive a problem arising.

Again, it's important to differentiate between poor job performance and misconduct. For consistency in terminology, we'll use the term "performance issues" for both job performance problems and misconduct. We'll use the more specific terms when appropriate.

Identifying Job Performance Problems

An employee exhibits job performance problems when:

1. The employee has consistently exhibited poor performance compared to performance standards
2. You have followed your agency's performance management policies
3. You have documented the employee's performance and your actions at each step
4. Performance has not improved within a reasonable time

As the immediate supervisor, it is your responsibility to be certain you have documented that the employee has been advised of performance requirements and performance problems, given a reasonable amount of time and resources to correct the deficiencies, and precise indications that the employee has failed to make the necessary corrections.

Performance Improvement Planning

Training plans are an effective strategy to ensure high quality performance, to overcome job performance problems, or to prepare for future opportunities.

When training plans are used to overcome job performance problems they are often referred to as performance improvement plans. The need for these performance improvement plans is identified during the performance review process. During this process, goals are established to add, correct or improve a missing competency, skill or attribute.

When these plans are needed, the goals established to improve performance may include increased effort on the part of the employee, additional support from the supervisor, and/or training and resources from the organization.

When implementing a performance improvement plan, you must take particular care to set specific timelines for the improvement period, and set specific and measurable performance goals.

You must gather accurate data about the employee's performance during the improvement period and monitor the effectiveness of the training and/or resources provided. This is where your QC reports are important tools. Finally, be sure to set specific, additional performance review dates and conduct them exactly as you would annual performance reviews.

Effective performance improvement plans can preserve a valuable asset for the organization and allow a willing employee to succeed. View them as a first or second step in ensuring improved performance rather than a last-ditch effort.

Misconduct and Behavior Performance Issues

Identifying Misconduct

Behavior performance issues occur either as the result of one serious behavior or repeated inappropriate behaviors (called "misconduct"). Again, the approach to take for any performance issues, including behavior problems and misconduct, is governed by your agency's personnel policies.

Examples of Misconduct

Examples of misconduct that could result in corrective action are excessive tardiness, failure to notify of an absence, insubordination, rude or abusive behavior in the workplace, sexual harassment, dishonesty, or theft. Misconduct also includes failure to follow agency rules or policies such as not wearing safety equipment.

Of course, correction may be required for a number of other types of misconduct. The question that needs to be asked is if there is "just cause" to impose a type of correction.

You should always consult with your boss and human resources department when any of the above misconduct occurs and before you begin any course of correction or discipline.

Some misconduct is so severe that progressive discipline need not be followed. Theft, conducting illegal activity on the work site, or violence can lead to termination on the first offense. Again, this decision should be made with your superior and human resources department.

Handling Difficult Situations

People can be difficult. Therefore, people can be difficult at work. And everyone has a bad day occasionally. Every workplace can be difficult at times.

When this happens, you may feel frustrated, scared, impatient, and like you are being blamed. “Why is this happening to me?” “This person makes me (frustrated, upset, scared)!” Ultimately, it’s not about you. You have the option to decide not to take it personally!

Difficult situations come about for many different reasons. An employee may be slightly upset or very upset. Employees may be upset because of something the agency could have controlled or avoided doing, which has been explored in previous chapters. Often a situation becomes difficult during performance management and poor performance actions. Employees may be upset because of something that has nothing at all to do with the agency.

Principles for Dealing with Difficult Situations

Recognize how YOU are feeling.

Have you often experienced difficulty with the same person, same type of person, or similar situations? Is there a pattern for you in what gets you (scared, upset, frustrated)? Does a pattern exist for you in your interaction with employees? Do you recognize your “hot buttons” that are easily pushed?

Listen.

If you really listen, the employee will tell you what they are feeling, what they need, their point of view. Listening is your most important, and often most difficult, task.

Get calm.

Address the difficult person while maintaining objectivity and emotional control. It’s optional to take anything personally, and you can demonstrate a way of communicating that isn't personally defensive.

Respond.

A calm, well-thought-out response means that you are taking your time to carefully consider how you will deal with the situation, whereas when you react in difficult situations, it's a knee-jerk, spontaneous response done with little or no thought. Reacting often involves doing or saying something you regret later.

Start decision-making.

Then gather information to identify the actual cause of the concern. If an employee appears unable or unwilling to regain their professional demeanor, follow a few simple and concrete steps.

First, begin by:

- Moving the conversation to a private spot, being careful not to trap or force the employee
- Allowing the employee to state or "vent" their concerns
- Acknowledging their concerns by restating them in simple phrases using active listening

Second, when the employee has been heard and all information has been gathered, continue by:

- Comparing their concerns to the agency's goals, regulations, policies, and procedures.
- If there is a difference between the employee's point of view and the agency requirements, explain what is required and ask for agreement.

Third, if the employee doesn't calm down, continue by:

- Reiterating your message and the action that is needed
- Telling them that you want to end the discussion so they can take some time to think about what has been said
- Telling them when and where you will be available to continue the discussion the next day

Fourth, if necessary or if the employee acts out in a way that prevents decision-making, continue by:

- Telling them under what circumstances the discussion can continue that day or the next
- Asking them to leave
- Explaining that you are going to ask for assistance so they will leave
- Explaining that you will have the police remove them if necessary

Fifth, depending on the situation, you may need to let your supervisor know if it gets to the third step. You need to involve your supervisor if the situation gets to the fourth step. See the next section, “The Process Approach.”

The steps are the same for employees who are upset with something the agency could have controlled or avoided doing, and those whose upset has nothing at all to do with the agency. This will become clear during the first step. Remember, employees have a right to their feelings and opinions. If, however, their point of view is inconsistent with the requirements of the agency, the supervisor has a responsibility to acknowledge the point of view and restate the requirements of the agency. This happens in the second step above.

Remember to use the communication competencies discussed in Chapter 3:

- Nonverbal signs of understanding (voice tone, eye contact, etc.)
- Listening to gather information
- Active listening to confirm your understanding
- Open and closed questions
- Decision-making to explore, define, and develop a plan of action

Avoid these phrases:

- You don’t seem to understand…
- You must be confused…
- You have to…
- We won’t… we can’t… we never…
- You’re wrong…
- It’s our policy…

Instead:

- Nod your head frequently
- Say uh-huh from time to time
- Maintain eye contact
- Don’t take it personally

Avoid interpreting the employees' behaviors:

- He's just scared
- He's unwilling to work hard
- She's being lazy

Instead:

- Listen to what the employee is saying
- Confirm your understanding of what the employee said
- Ask yourself, *"What does this person need and how can I provide it?"*

Express empathy to the employee:

- "I understand that you feel that way"
- "I can imagine what you mean"
- "That must be very upsetting"
- "I understand how frustrating this must be"
- "I'm sorry about this" active decision-making:

Begin active decision-making:

- Explore all aspects of their point of view
- Define exactly what they are concerned about
- Consider all agency-related alternatives in the situation
- Develop a plan
- Follow up

The Process Approach

Ideally, job performance problems and misconduct are dealt with as soon as they emerge. You communicate to the employee on a regular basis and, with input from the employee, you decide where training, practice, and coaching can aid the employee in making improvements in job performance problems or in behavior.

Preventing Problems

Often, a positive approach may solve the problem without having to progress to further measures. This positive approach is not complicated but requires commitment and consistency on the part of the supervisor.

- Communicate often with employees. When an employee does something well, let them know. Acknowledgement can be informal- a verbal "kudo" or post-it at their desk today can be more effective than a plaque at the end of the year.
- When constructive feedback is required, give the feedback calmly and professionally, as close to the event as possible. Speak privately to the employee; don't embarrass him. Your goal is to correct the situation, not to humiliate. Stick to the facts.

Talk to the Employee!

Unless the behavior problem or performance issue is serious, you'll usually begin by talking to the employee when you first see the problem. Tell the employee what you saw or the behavior that is concerning you. Be specific about what behavior is a performance problem.

- Tell her what you would like to see instead.
- Ask the employee for feedback. Everyone has their side of the story. Listen.
- Ask if there is any special training or resource she needs to do her job.

You may need to explain that the next step (i.e., a more formal step) will be a consequence of continued behavior problem(s).

Verbal Warning

If the behavior problem or performance issue continues, or if the initial problem is serious, your HR process will typically call for a more formal verbal warning. Again, remind the employee of the behavior that is a concern; be specific and include the incidents or problems that have occurred since your last discussion. Explain to the employee that he should consider the conversation to be a verbal warning.

Follow this meeting with detailed documentation stating all of the above as well as a description of the employee's responses during the meeting.

Written Performance Actions

If the behavior problem or performance issue occurs consistently, or the initial action puts the agency at risk, your agency's policies will probably require you to issue a written warning. Again, consult with your manager and HR representative, and follow your agency's HR policies precisely.

- The written warning should specify what behaviors or performance issues are concerns. The warning should also include information about any discussions and the previous verbal warning, restating the concerns, and the date of that meeting.
- State that the behavior or performance has not improved, giving a brief clear statement describing the behavior. Warn the employee that if the behavior or poor performance occurs again over some specific time period (for example, over the next month, three months, etc), he will be subject to certain consequences.
    - These consequences must be established by you, your manager, and your HR representative before you put them in writing and must be very clear in the document. Consequences could include (but are not limited to): Beginning or reinstating improvement plan training, placement on probation for a specific time, demotion to a position with less responsibility, transfer to a position with different duties, suspension from employment with no or reduced pay, or termination.

You'll meet with the employee to provide the written warning. Follow the same steps as those in the verbal interview, without implying that his input or feedback will change the formal nature of the warning.

Finally, follow this meeting with detailed documentation stating all of the above as well as a description of the employee's responses during the meeting.

Final Performance Warning

If the behavior problem is a serious liability or occurs *again* within the specified time period, or the poor performance continues and the employee is clearly unable or unwilling to meet the standards of the job, you may decide, in consultation with your manager and HR representative, that you need to issue a final performance warning. Work closely with them in writing this warning; show them the draft and have them approve it. Working as a team will ensure that the process is fair and in accordance with your HR policies; this fairness and consistency protects the employee, you, and your agency.

Documentation

During this entire process it's important to keep careful and complete notes. This documentation becomes a permanent part of the employee's employment record and will serve to remind you and inform others of what actually happened. Include:

- Notes about any observations that lead to the first and subsequent warnings.
- Notes about the first verbal warning and the meeting for the written warning that describe the meetings, detail the concerns, the employee's comments, and any action plans.
- Clear notes on the timelines that were established for improvement, further warnings, or termination.

Keep the organization's management and human resource department well informed about your actions. Involve them as well as the organization's legal counsel in any decisions to issue warnings or termination notices.

Factors to Consider

Accommodation. An employee may be unable to perform the tasks as required in a position due to a disability. The employee may request an accommodation, which could involve a change in the methods or equipment used to accomplish the tasks. The accommodation may be “reasonable” and afford an avenue for the employee to succeed in the position and the organization to retain a valuable employee. A reasonable accommodation is a change that does not pose an undue financial or administrative burden on the organization, nor does it require the organization to change the essential nature of its work.

Employee Assistance. Personal, extenuating circumstances may be at the root of the employee's performance problems. In these situations it might be to the employee's and the agency's benefit to make a referral for employee assistance that might remove or reduce the effects of the circumstances that are affecting performance.

These referrals are highly confidential. Supervisors must take care to monitor performance during the course of the referral. Extenuating personal circumstances should not provide an employee with a release from the requirements of the position.

Termination

If the problem behavior or poor performance continues, it may be necessary to consider, in full consultation with your management and human resources department, terminating the employee. Terminating an employee can be an extremely costly move, emotionally and financially, to the employee and the organization. This course of action is only taken after careful consideration of all alternatives to termination.

Alternative Actions

Alternatives to termination of employment exist and are often a good solution to a difficult situation. These alternatives might include:

- **Training.** At this point a good supervisor has identified, tried, and exhausted additional training as an avenue to improved performance. However, when considering a termination, the employee may benefit from training that wasn't provided earlier. Be careful not to spend money on training that is not likely to have an affect.
- **Transfers.** Transferring the employee to another position where their skills are more suited to the job tasks may also improve performance. This transfer is not a demotion and does not involve a reduction in pay. Make sure a problem employee isn't simply moved from place to place to avoid termination.
- **Demotion.** A careful review of the employee's skills and competencies may show that the employee can succeed in a position with less responsibility or different tasks.

Reasons for Termination

You may have employees leave your team for several reasons. They may be transferred to another department, leave voluntarily because their position within the organization is reassigned, or they may leave “involuntarily” because they have been terminated or “laid off.”

Resignations

Even though an employee resigns of his or her own free will, it's a good idea to ask for a letter of resignation where they give their reason for leaving and their last day of work. Immediately inform your human resource representative so the organization can acknowledge this resignation letter in writing. You should follow your agency's personnel policies to conduct a termination meeting and an exit interview.

Employer Initiated Terminations

You may recommend an employee termination (or have one recommended to you) for several reasons. You may have an employee whose job performance is consistently inadequate or an employee who has had one or more serious incidents of misconduct.

Termination Interviews

Your human resources department and legal counsel may ask you to contribute to a letter of termination that details the observed behaviors or poor job performance that led to this termination. You may have to document when you saw them, any earlier warnings you gave and their consequences, what you did in response, and the consequence that must now be enacted according to your policies.

You and your human resource representative should meet with the employee in a termination interview to:

- Tell them that you are terminating their employment
- Explain clearly and briefly the reasons for the termination
- Provide them with the letter
- Explain how the termination will occur, including when, what they must do, and what you request from them
- Ask for any keys and any other vital organization property
- Give them time to remove personal items
  - Depending on the reason for termination, you may need to monitor them during this time.

In this interview, as with all of the other meetings, it is important to make notes of exactly what was said.

Don't allow the ex-employee to return to the agency or to act on behalf of the agency in any capacity, under any circumstances. Be prepared to seek assistance, including law enforcement, when necessary.

Termination Follow-Up

With your human resource department, make certain that:

- Information technology has been asked to promptly, and in complete confidence, change the employee's password.
- Security has been notified to change door locks, passwords on alarm systems and phone systems, and change codes to safes and systems, if applicable.
- Co-workers, clients, the community, and customers should be informed as necessary and appropriate. This message should be developed by your human resource department and management. It should be brief and emphasize confidentiality and respect.

A termination is successful when your employee understands the important information about his or her termination; he or she is treated fairly and with respect; and the agency fulfills its legal and ethical responsibilities with the least amount of disruption to other employees.

Termination Checkpoints to Avoid Employee Lawsuits

1. Review your organization's polices, handbooks, and employment offer letters – then follow them.
2. Any written performance or final performance warning interviews should be summarized in writing to the employee. Ask the employee to sign the memo. If they refuse to sign, this should be noted on the memo.
3. Have a witness to final performance warning meetings whenever possible. Make certain the person understands their role solely as a witness.
4. If you or your human resources representatives have any questions about the circumstances or steps in your agency's performance management policies, consult with the agency's legal counsel.
5. If your agency has any questions about employment laws in your state, contact the state unemployment agency or workforce commission for further information.
6. Have exit interviews with all departing employees regardless of the nature of the termination.
7. Require a letter of resignation written by the employee, stating the date and reason for resignation. Acknowledge the letter in writing.
8. When terminating for poor performance, be certain you have documented that the employee had been advised of performance deficiencies, given a reasonable amount of time to correct the deficiencies, and the employee has failed to make necessary corrections.
9. When terminating for misconduct, be sure the employee's action is thoroughly documented.
10. When the termination is the result of a reduction in workforce (layoff), verify that the employee's selection has been fair and legal and that it has been documented.

SECTION 4 STAFF AND CAREER DEVELOPMENT

Retaining Employees

A key objective for any supervisor is to retain the best and the brightest employees. Applying good supervisory principles will go a long way to ensure that high performing staff chooses to stay, and grow, in the organization. Here are some guidelines:

- Develop a strategic plan based on a clear and compelling vision and mission.
- Set clear team and individual performance goals based on the organization's strategic plan.
- Secure the necessary resources for the team and individual employees to achieve their goals.
- Accurately review and acknowledge team and individual performances in each position.
- Be willing and able to move quickly and decisively to address challenges that face the team or individual employees, including insufficient resources or unskilled or unwilling employees.
- Develop and implement detailed ongoing training plans to ensure skilled performance, provide for advancement, and allow employees to take advantage of opportunities within the organization.
- Reward high performers by giving rewards that are based in actual behaviors and are consistent with their own values.Counseling

Rewarding High Performance

Finding, training, and evaluating new employees are all substantial investments for any agency, regardless of size. One of the best ways to retain employees is to reward them, individually and as a team, for a job well done.

The primary reward for adults for work well done is to feel a sense of meaning or purpose in their work. If employees feel that they're serving a useful purpose, they are more likely to stay at their current job.

As a supervisor, there are many ways you can reward good performance. These practices are common sense and you should make sure you're doing them.

- For example, always tell an employee when positive comments are received from clients about how the employee's activities benefited them. Take a few minutes in your staff meetings to mention the major accomplishments of various employees.
- The most fulfilling reward for employees is to do useful work. For this reason, be certain that each employee understands the mission of the organization and how their work is contributing to accomplishing that mission. This simple reminder isn't in big speeches, but in the daily demonstration of you remembering (and thus reminding) what the work is about.
- Remember that as a supervisor, you need to understand what motivates each of your employees. One employee may feel rewarded by frequent acknowledgement, whereas another employee may feel rewarded by an interesting project delegated to her, acknowledging her competence.

It is critical for agencies to reward their employees. Your agency doesn't need huge sums of money for a reward system. Simple acknowledgement of a job well done can suffice. However, to effectively meet program goals and the agency mission, and for succession planning, agencies need to think about what might be the best rewards and take steps to ensure that they're providing them.

Good reward systems share key principles. For example, rewards are given for work that accomplishes strategic goals. Rewarding only for longevity can be counterproductive to making sure your program, project, or agency performs to the high-performing benchmarks.

Also, rewards should be timely, that is, they should occur as closely as possible to the behaviors that they are intended to reward.

Your agency's reward system comes from its values and culture. No one right method of rewarding employees will apply to every housing authority.

- In some agencies, the executive director or board member comes to staff meetings monthly or quarterly to thank the staff. Some agencies present gift certificates (based on written policy guidelines) to employees who have made major accomplishments.
- Allowing employees to recommend other employees for rewards is a good way to allow everyone to "own" the reward system.
- A project or program could post a progress report every month and award the team who is the high achiever and the team who has made the most progress.
- More housing agencies are adopting private sector models. For example, the most highly-paid private sector property managers are those who turn troubled properties around by establishing and enforcing clear policies, insisting on lease compliance, achieving maximum occupancy, and collecting the rents.

Chapter 6 - My Career Map

List here what you learned in this chapter about your responsibilities in performance management. Include what tasks you are currently doing in performance management and what you would like to do or improve in the future. We will return to this information again and again as you move through this course.

Who and Where I Am	**NOW**	**Who and What I Want to Be**	**What I Will Do**	**Date**
Performance Reviews:				
How I Manage Key Functions of the Program:				
How I Manage Poor Employee Job Performance:				
How I Manage Misconduct and Behavior Issues:				
Staff and Career Development:				

SECTION 5 CHAPTER 6 POST TEST

1. The supervisor will handle most performance issues by:
   a. Immediate termination
   b. The step-by-step process approach
   c. Immediate discipline and warning
   d. Employee assistance referral
   e. Bypassing the human resources department

2. In a performance review, the form or format should record the following:
   a. Specific behaviors that have affected performance
   b. Any specific improvement needed
   c. Major accomplishments and strengths
   d. Acknowledgement of any job improvements
   e. All of the above

3. Performance issues can result from poor job performance or misconduct.
   a. True
   b. False

4. Before identifying an employee as a problem and taking corrective action, the manager or supervisor should first: (two answers)
   a. Determine if there is a systemic problem in policies or procedures
   b. Ask other staff about the problem employee's performance
   c. Issue a written warning to the employee
   d. Work with your supervisor and the HR representative

5. It is important to document whether a new employee demonstrates ability to meet performance standards and displays required competencies immediately after the probationary period has expired.
   a. True
   b. False

6. Housing agencies generally do not allow an employee to file a grievance if they feel that the evaluation has been unfair or inaccurate.
   a. True
   b. False

7. The numerical rating on a performance evaluation is more important than the supervisor's commentary or narrative.
   a. True
   b. False

8. Performance reviews are not necessary on an annual basis if the supervisor knows his or her employees and manages performance effectively.
   a. True
   b. False

9. The approach to any performance issues, including misconduct, is governed by:
   a. The supervisor or manager's intuition
   b. Common sense
   c. The housing authority's human resources policies
   d. Consensus
   e. Supervisory style appropriate to the situation

Progressive Discipline Checklist

Counseling

_____ Clarify

_____ Communicate/Converse

_____ Seek Information

_____ Identify/Solve Problem

_____ Sum Up Strengths

Oral Warning

_____ Define Areas of Problem

_____ Set Goals and Timetables

_____ Suggest Outcome (Positive/Negative)

_____ Maintain Personal Documentation

Written Warning/Reprimand

_____ Reference Problem and Prior Action Taken

_____ Note Expectation of Change/Further Action

_____ Possible Effects of Future Actions

_____ Advise as to Appeals Process (If Any)

_____ Allow for Rebuttal

Suspensions

_____ Due Process

_____ Opportunity to Know Discipline Will Occur

_____ Ability to Rebut

_____ Right to All Applicable Documentation

_____ Time to Prepare Response

_____ Right to Respond

Reductions-in-Pay

_____ Same as Suspensions

Demotions

_____ Same as Suspensions

Discharge

_____ Same as Suspensions

_____ Constructive Discharge Has Same Right of Appeal

Supervisor's Checklist for Conducting the Disciplinary Counseling Interview

Prepare for the interview:

_____ Avoid a significant time lapse from date of incident.

_____ Select a time and place that is private and free from interruption to avoid embarrassing the employee. Ensure confidentiality.

_____ Review all the facts.

_____ Have the personnel record and other information on hand at the time of the interview; prepare an outline.

_____ Consider what you know about the employee: his/her personality, personnel record, and the requirements of his/her particular job.

Conduct the interview in a constructive manner:

_____ Start on a cooperative, positive note.

_____ Be ready to help the employee overcome any resentment.

_____ Avoid the attitude of blaming or punishing the employee.

_____ Stick to the facts; don't become involved in personalities.

_____ Listen to what the employee has to say; practice "constructive silence."

_____ Encourage the employee to express how he/she feels and don't show disapproval when employee does so.

_____ Openly focus question; avoid yes/no alternatives.

_____ Reiterate and paraphrase statements made by employee.

The need for cooperation:

_____ Cooperation is solicited when one party shares the likes and dislikes of the other.

_____ Common association induces cooperative feelings.

_____ Acknowledge any help or information of value that is received from the other party.

_____ Disassociate one's self with the dislikes of the other party.

_____ Be descriptive, not judgmental.

_____ Deal with things that can be changed.

_____ Consider motives of the employee for giving you certain feedback.

_____ Give feedback when it is desired.

Make Sure the Employee Understands:

_____ Discuss the requirements of employee's job. Point out the facts which show how he/she is not meeting these requirements and what the effects are on work group.

_____ Help the employee to decide how he/she can correct the problem and avoid repetition of the offense.

_____ Help the employee to uncover the real cause of the problem: not only what employee is doing wrong, but why he/she is doing it.

_____ Explain fully the purpose of any action as a corrective measure rather than a punishment.

_____ Make certain the employee completely understands that his/her behavior must change. Indicate the consequences if behavior doesn't improve.

The Use of Criticism:

_____ Focus on behavior rather than the person.

_____ Make observations rather than inferences.

_____ Describe behavior in terms of more or less rather than good or bad.

_____ Focus on behavior related to specific and recent situations rather than on the abstract.

_____ Share ideas and information rather than giving advice.

_____ Explore alternatives.

_____ Stress the agency/employee "contract" to show why mutual cooperation is necessary

“Good Cause” Checklist

Personnel and civil service rules, as well as labor agreements, normally use the terms “reasonable cause,” “just cause,” or “good cause” as the basis for suspension or dismissal of a regular employee. Although used frequently, the term “good cause” raises many questions. What is it? How do you establish good cause?

“Good Cause” is a judgmental decision considering all related factors. There is simply no hard and fast rule that certain behavior warrants a specific discipline in each and every case. So how do you know if you have reasonable cause for discipline and what discipline is appropriate> Listed below are questions you should ask yourself before taking disciplinary actions such as suspension, reduction or discharge.

A “no” answer to any one of the following questions signifies that good cause does not exist. Please keep in mind these are only guidelines.

_____ Did you give the employee forewarning or foreknowledge of the possible or probable disciplinary consequences of his/her conduct?

_____ Did you use a progressive discipline approach?

_____ Was your rule or order reasonably related to the orderly, efficient and safe operation of the department or agency?

_____ Have you, before administering discipline, made an effort to discover whether the employee did in fact violate or disobey your rule, standard or order?

_____ Have you conducted a fair and objective investigation of the situation?

_____ Have you applied your rule, order and penalty evenhandedly and without discrimination to all employees in comparable situations?

_____ Is the degree of discipline you plan to administer reasonably related to:

_____ The seriousness of the employee’s proven offense?

_____ The record of the employee’s service with the agency?

_____ Penalties imposed previously in the department and agency in comparable circumstances?

If you can answer “yes” to all of these questions, your action will probably be upheld throughout the appeal process should the employee appeal the action.

Remember that discipline should be progressive in a constructive attempt to correct the behavior of the employee. Discharge of a regular employee should occur only when progressive discipline has failed to correct the unsatisfactory behavior. Only in extreme cases is it likely that a discharge of a regular employee should occur only when progressive discipline has failed to correct the unsatisfactory behavior. Only in extreme cases is it likely that a discharge of a regular employee, without a pattern of progressive discipline, will be upheld throughout the appeal process.

Documentation Checklist

Documentation should contain all the significant elements surrounding an exceptional incident of employee behavior. When preparing documentation, it may be helpful to review the following checklist to ensure completeness and accuracy.

_____ Did you prepare a written record while your memory was still fresh?

_____ Have you indicated the date, time and location of the incident (s)?

_____ Have you noted what specifically the employee did or failed to do?

_____ Have you listed the specific performance standards violated or surpassed?

_____ Have you compiled and attached all relevant records, reports, etc.

_____ Did you record the consequences of the action or behavior on the employee's total work performance and/or the operation of the work unit?

_____ Did you indicate the employee's reaction to your efforts to modify his/her behavior?

_____ Did you coordinate and consult with department management and personnel staff in line with departmental procedure?

Sample Documentation Report

Supervisor's Name: ____

Work Unit: ____

Employee's Name: ____

Action Taken or Proposed:____

Oral Warning_____

Written Warning _____

Suspension _____ (___ days)

Reduction-in-Pay_____ (from step ___ to step ___ for ___ days)

Demotion_____

Discharge_____

Reason (What did the employee do or fail to do?): ______________________________

____

Are written reports available and attached? Were there witnesses?

____

____

____

If so, list their names:

____

____

Date of Occurrence: _______________ Time: _______________ a.m. ____ p.m. ____

Place of Occurrence: ____

Was employee counseled? ____

____

Date: ________________ Signature: ____

Sample Counseling Interview Memorandum

(Used to clarify verbal agreements and possible behavior changes between a supervisor and an employee.)

TO: (employee) ____

FROM: (supervisor)____

SUBJECT: Conference of _____________________(Date)____________

This is to summarize our conference of the above date.

During the conference, the following items were discussed.

> Use the shortest possible description but be specific and complete. These may later become “charges”.)

During the conference, you stated the following:

> (This paragraph is optional. Use it only if the employee makes statements significant to the issue. Do not use it to provide the employee with a written alibi.)

During the conference, I offered you the following assistance and guidance:

> (Be specific! If offering helpful control techniques, spell them out. Avoid generalizations.)

(Include the names of publications given to the employee, opportunities to visit other locations to observe the work of others, and names of individuals who will assist the employee.)

During the conference you were directed: (Use when necessary)

1.

2.

If you do not believe this to be an accurate summary of our conference, please notify me in writing by ______Date___________ so we can clarify any misunderstandings.

*Be sure to give at least three or four working days for response.

Sample Letter Confirming Oral Reprimand

(To provide both supervisor and employee with a permanent record of specific violation. *This does not become a part of the employee's permanent personnel file.*)

TO: (employee) ____

FROM: (supervisor)____

SUBJECT: Confirmation of Verbal Reprimand

This memo will confirm our conversation of ___(date)_____, during which you received a verbal reprimand for *(State the offense in a brief and concise manner):*

(Note:

- ❒ Provide background information of the specific incident(s).
- ❒ State what you discussed with the employee and what the employee has agreed to do to correct the situation.
- ❒ If time limits have been agreed to for certain actions, make sure they are included.
- ❒ Make sure you state what the possible negative consequences are if the action is not corrected.)

Sample Written Reprimand

(To make a permanent record of a specific violation of behavior. A copy of the written reprimand is forwarded to the Personnel Office for retention in the employee's permanent personnel file. The original memo should go to the employee and the supervisor should retain a copy for his files.)

TO: (employee) ____

FROM: (supervisor)____

Subject: Written Reprimand Date:_______________

(Start out by stating in a brief and concise manner those events that have led up to the written reprimand. For example:)

As you will recall, on ____(date)___, I talked to you regarding __(situation)____. We again discussed this on discussed this on ___(date)_____.

(Be sure to include specific situations with dates and times.)

As a result of the above situation (s), this memo shall serve as a written reprimand, a copy of which will be placed in your permanent personnel file.

(Identify the specific expectations you have for the employee to change.)

(Depending on the nature of the situation, you may want to use one of the following where appropriate.)

Further actions of this nature could result in further disciplinary action up to and including dismissal.

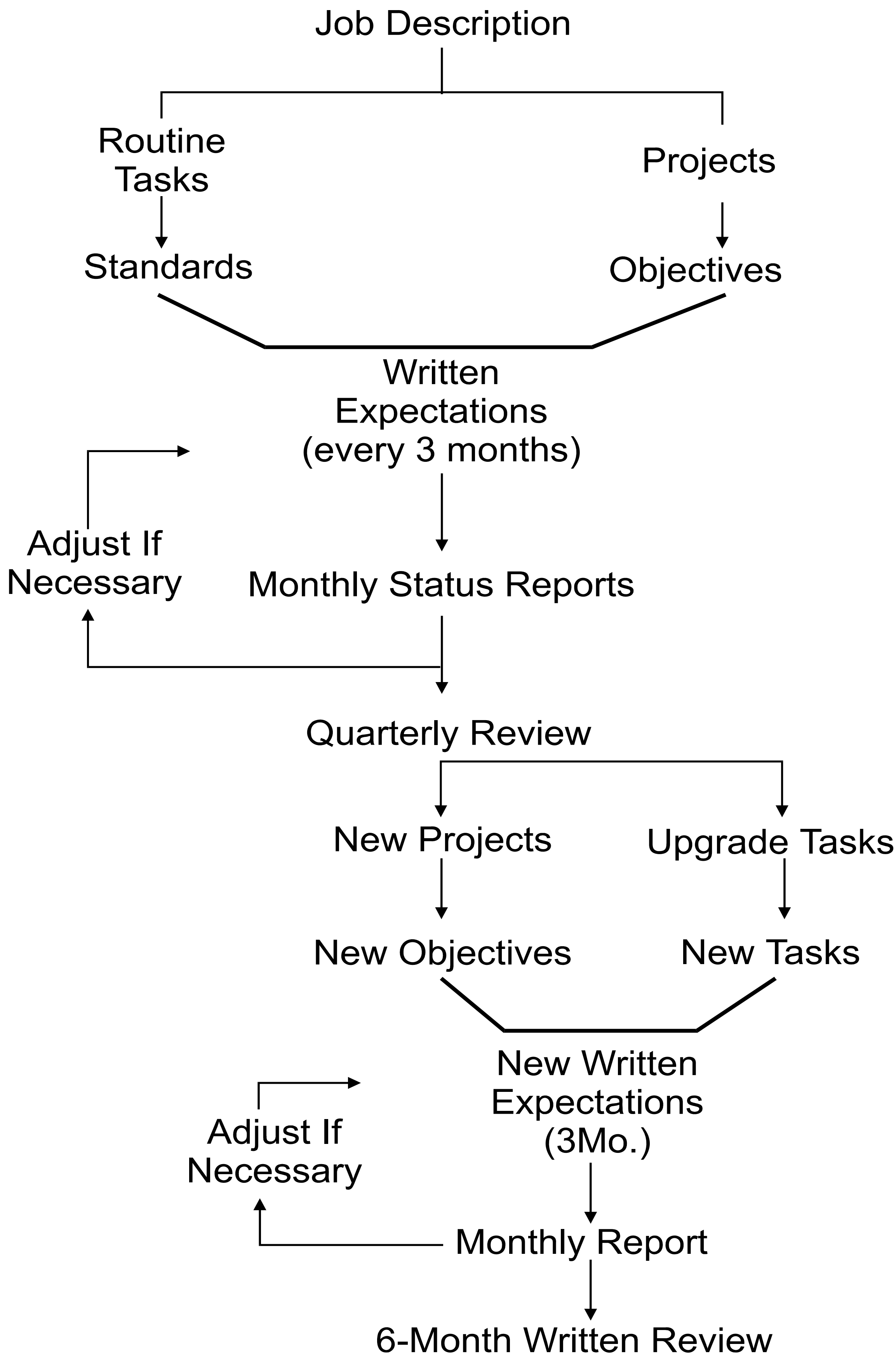
(or)

Failure to correct this situation by _____(date)_____, could result in further disciplinary action up to and including dismissal.

Should you wish to discuss this situation further, please arrange a meeting with me.

(If the employee has any rights to appeal or grieve, you will want to reference the appeal procedure.)

Performance Planning Flow Chart



Types of Standards

Quantity	Task Example	Standard Example
No. of work units to be completed within a specified time	Process applications for assistance	Processes 50 to 75 applications a day.
Results of adequate amount of work completed	Interviews applicants for assistance	Interviews a sufficient number of applicants so that no applicant is kept waiting more than 10 minutes
Time limit in which work is to be completed	Takes and transcribes dictation	Transcribes letters with 6 to 8 working hours after dictation
Accuracy	Takes and transcribes dictation	Transcribes dictation so that ideas and content are accurately reproduced.
Effect desired	Maintain stock of office supplies	Keeps sufficient stock on hand to fill requests
Knowledge needed	Answer switchboard	Has sufficient knowledge of building personnel to refer calls to correct extensions
Physical appearance of product	Types letter and memoranda	Types mailable letters and neat and readable memoranda
Method	Writes reports on investigations	Writes reports according to form set up in manual of instruction
Personal Requirements		
Appearance	Acts as receptionist for division	Is dressed and groomed to give neat and businesslike appearance
Speech	Answers telephone	Speaks clearly and distinctly enough to be understood by caller without repeating
Behavior	Gives information to the public	Answers questions courteously in a friendly manner

CHAPTER 7 Planning and Monitoring

Learning Outcomes

Describe the purpose and process of strategic planning.

Recognize the basics of monitoring the Public Housing Assessment System (PHAS) and Section Eight Management Assessment Program (SEMAP).

Apply the basics of monitoring program budgets.

Identify the elements of a quality control system.

Recognize essential monitoring reports for public housing programs and the housing choice voucher program.

Evaluate best practices for quality improvement.

> *"Nonprofits have to recognize that they are businesses, not just causes. There is a way to combine the very best of the not-for-profit, philanthropic world with the very best of the for-profit, enterprising world. This hybrid is the wave of the future for both profit and nonprofit companies."*
>
> From *Genius at Work*, an interview with Bill Strickland, CEO of Manchester Craftsmen's Guide and the Bidwell Training Center

Overview

"If it's not broken, don't fix it," is a wise adage. However, you also don't know what you don't know. You have to watch the "vital signs" of your program, project, or agency. If things are going well, or if they're clearly headed in the right direction, keep doing what you're doing. But if your project, program, or agency is not where it needs to be, or if it's historically done well but is now trending downward, the only solution is a plan, leadership, and hard work.

This chapter is where we'll dig into the nuts-and-bolts of what you need to track, in order to guide your team to achieve positive outcomes. We'll look at the key performance indicators for the public housing and housing choice voucher program. Because you may supervise only one of these programs, or may manage another function or department, you won't be tested in detail on these components.

SECTION 1 STRATEGIC PLANNING

Introduction

We covered policy and policy development in Chapter 2. This section will help you fit those policies into the context of planning for success. If you don't plan, you're planning for mediocrity.

Business Planning

The business plan is a roadmap and includes goals, strategies, and actions. Straightforward business planning depends on the following conditions:

- You know your clients' needs well. Be careful about making assumptions—new laws and/or regulations, new refugee groups in your jurisdiction, a shift in the elderly or disabled population, and having more or less affordable housing options can change client needs significantly.
- You plan to meet those needs by using program methods with which you and the agency are familiar (planning whole new programs is another type of planning).
- You know your program costs.

If the above conditions are true, your plan is fairly straightforward, and should specify:

- Outcomes and/or goals for the program to achieve.
- Program methods or activities to accomplish those goals.
- Any minor changes that must be made to current programs in order to implement the new methods.
- Who is responsible to implement the methods and make the minor changes?
- Timelines for achievement of the goals.
- Budget that lists the funds necessary to obtain the resources required to achieve the goals.

Business development should include some upfront, rigorous examination for opportunities to provide services among a variety of stakeholders. These opportunities should generate revenue and still work toward the mission of the agency.

- For example, there may be specialized staff at the agency—grant writers, specialized maintenance technicians, asset managers, property managers, and/or developers, to name a few—whose expertise may be provided to the larger community for increased revenue to the agency.

Business development often helps groups of clients identify new needs that they didn't even realize.

- In public housing, for example, universities, training programs, and advocacy groups are often quite willing to bring in-kind services or a part-time representative to a community center.
- Also, collaboration, discussed in an earlier chapter, often results from community agencies recognizing common clients with the housing authority, and working in new ways to provide new or innovative services.

The Steps in Strategic Planning

In strategic planning, the process is as important as the document itself, so plan how to plan before you begin.

- Consider your timeline, which will entail the complexity of your plan and the urgency of the need. A timeline that is too accelerated may not be realistic if it would drastically distract managers from day-to-day business. A timeline that is too prolonged can result in lost momentum and interest.
- The PHA should consider whether an outside facilitator or consultant should assist in the strategic planning process. This decision will be based on the PHA's experience and competence in the strategic planning process and the importance of having an impartial party.
- Is strategic planning being championed and supported by the Board and the executive director? If not, this support is critical before the PHA attempts agency-wide strategic planning.

There are times that are not conducive to undertaking strategic planning.

- When the PHA is in crisis, the focus must be on the resolution of the urgent issues.
- When the Board is choosing a new executive director, strategic planning should wait until the new leader comes on board. The new executive director will need to lend his or her own thinking and vision to the process.
- When the environment is very turbulent, it makes better sense to wait until outside factors develop further. Examples might be a major election or new legislation coming soon.
- There are times when issues are not truly strategy issues. Poor executive leadership, poor working conditions, poor supervision, and/or Board conflict are some examples. Although these issues are important, they should be addressed for what they are.

One additional note before the steps in strategic planning are explored. Documentation throughout the process, at every step, is stressed. Documentation will leave a record of not only what decisions were made, but who made the decisions, why, and how (consensus, brainstorming, formal adoption by the Board, etc.) When you're planning how to plan, decide how and by whom this historical narrative will be maintained and saved.

Step 1. Define how the PHA will plan and who will participate

Define the number of meetings and length of time to plan. Define who will participate in the strategic planning process, and who will provide key information. Determine if there will be teams or committees. Schedule the meeting times and locations. Finalize mission and vision statements.

While you want to reasonably plan, your planning process should be evolving and flexible. The strategic planning process should be part of a continuous improvement philosophy.

Step 2. Conduct SWOT analysis (strengths, weaknesses, opportunities and threats)

Consider the PHA's financial and human resources, staff competencies and skills, and managerial strengths and deficiencies. Also consider the effectiveness of the PHA's current quality control system and trend analysis monitoring. Lack of succession planning often surfaces in strategic planning. You need to know where you are in order to plan where you're going.

The SWOT analysis will help:

- Indicate where opportunities and risks should be pursued and where avoided;
- Know if resources are allocated properly;
- Planners assess PHAS, SEMAP, financial strengths and weaknesses, community reputation, and community partners. Surveys may be a useful tool in conduct the SWOT analysis.

Brainstorm as you begin this process. Put all ideas on the wall with stick notes. Do not filter or judge ideas – just write down all the thoughts and ideas that come up. Brainstorming will deepen understanding and help the group explore relationships between factors.

- For example, if a neighboring housing authority has recently expanded its voucher program, your plan may need to include a goal on retaining and maximizing your lease-up rate. Your public housing projects may need to spruce up its general appearance and develop innovative marketing strategies in order to stay competitive.

Record results.

The team then reviews and agrees on top strengths, weaknesses, opportunities and threats. The team prioritizes all the various ideas generated during the brainstorming sessions. This may take several meetings.

Step 3. Prioritize and agree on goals and objectives

The purpose of goals and the purpose of objectives work together:

- Goals are high level and broad. Objectives are to achieve goals, and are narrower.
- Goals are intentions. Objectives are precise.
- Goals are more abstract. Objectives are concrete and can be measured.
- Goals cannot be validated as is. Objectives can be validated.

Stretch goals drive strategic out-of-the-box thinking. Best practice agencies set targets that require a shift from business as usual.

Decide on your top strategic goals, Limit the number. Twenty strategic goals will look good on paper, but you're better off actually accomplishing 5-10 goals.

Step 4. Prioritize and agree on strategies to achieve goals and objectives

Decide on strategies. Determine how objectives will be measured.

Planners emphasize action plans. Establish timelines and responsibilities. Allocate human resources to support the strategic initiatives in the plan. Not all assets are financial the knowledge, skills and abilities of staff and managers are critical assets to be considered.

Budget resources to achieve objectives. Here's where your budget becomes a crucial element of the plan. Annual budget approval should be consistent with timelines of identified strategies.

Remember, your other plans and policies should work together with your strategic plan.

Step 5. Draft the plan and submit to the Board, the team and stakeholders

Review and feedback is a universal element in any strategic plan. The more participatory the process has been, the caliber of ongoing vertical and horizontal communication, and the more diverse the competencies going into drafting the plan, will affect the amount of "buy in" the draft plan will encounter.

The Board should be very committed to this process, and should already be engaged in communicating the long-range vision and direction of the PHA.

When the plan is submitted, a time period should be established for comment, review and revision.

Step 6. Plan out the implementation, dissemination and training

The implementation of a major strategic plan may be in phases. In addition, there may be departmental strategic plans that support the overall plan.

Communication of the strategic plan should be a formal and significant element of the process and viewed as a measure of quality planning. Make sure everyone in the agency sees and understands the strategic plan. Verbally discuss the plan with and train staff.

Executive leadership implements the plan as approved by the Board.

Step 7. Periodic review and recalibration

As mentioned earlier, the process is as important as the document itself. The plan should be a vehicle to aid communication. Don't let your strategic plan end up on a shelf!

Monitor implementation and track trends through the measurable objectives. A monthly report to stakeholders, management and the Board (and ideally to all staff) should be a progress report of strategic goals. An annual report should include an overall status report of all strategies.

Revise the plan if something isn't working and/or wasn't realistic. Plans may need to be amended if:

- There are unanticipated changes in planned resources, financial or human.
- Strategies shift due to unforeseen circumstances.
- There is a change in leadership at the agency.
- There is a significant delay (or advancement) of timelines.

Example: Hilldale Housing Authority Business Plan

The Housing Authority will improve the appearance, quality and culture of low-income housing in Hilldale. This plan was developed in collaboration with elected officials, elected resident leaders, advocacy groups, community-based agencies, and the Department of Housing and Urban Development.

HHA seeks to:

- Move from high-standard performer to high performer in the housing choice voucher and public housing programs.
- Renew the physical structure of Juniper Gardens.
- Promote self-sufficiency for residents and participants.
- Reform the administration of HHA.

High Performer Status

HHA plans to achieve high performer status under SEMAP by:

- Establishing a quality control system to train, mentor, and monitor supervisors and staff in the calculation of adjusted income;
- Establishing and implementing a rent reasonableness methodology; and
- Achieving and maintaining a lease-up rate that will utilize all available budget authority.

HHA plans to achieve high performer status under PHAS by:

- Ensuring 100% inspection of units and systems;
- Ensuring that nonemergency work orders are completed within an average of 7 days; and
- Maintaining a 97% occupancy rate and a 98% rent collection rate.

Physical Renewal

The HHA housing inventory consists of a family property and a senior high rise. The senior high rise, Juniper Gardens, will be rehabilitated by the end of 2011. Both the exterior and interior of the units will be renovated.

Self-Sufficiency

The HHA has formed partnerships with other city agencies to offer residents a wide bridge to resources, opportunities, and supportive services. These include employment assistance, training, internships, household management and budgeting counseling, substance abuse counseling, and lease counseling.

HHA, working with local law enforcement, will require residents to undergo a criminal background check annually.

Reform

HHA has instituted reforms to improve our own accountability:

- HHA has proactively collaborated to consolidate many of our resources with the City of Hilldale to eliminate redundancies and bureaucracy, including advocacy, police protection, and social service/housing counseling.
- HHA has moved forward with financial reforms that have resulted in two consecutive balanced budgets.
- HHA has developed a comprehensive, rigorous quality control system to ensure that program requirements are met.
- In the voucher program, landlords receive HAP payments on time, units are inspected on time to HQS, and the program lease-up rate is improving significantly.
- In the public housing program, monthly monitoring is in place to improve work order response, rent collection, and lease-up rates.

Eliminating the Unessential

The purpose of planning is to help everyone walk down the road to success, not to park by the side of the road. Long-range plans are essential because their purpose is to track key indicators and tell you whether your project, program or agency is headed in the right direction. Just remember, plans should not be set in concrete or laid out in endless detail.

Every now and again, scan your environment to see if there are unessential practices-don't be afraid to join with others in modifying or eliminating them if they're interfering rather than helping. If you are a good supervisor, you're in touch with the employees and the job on a daily basis. Speak up when it's time to do so.

As you develop and review your business plan, keep the following in mind:

1. Weed out over-reporting and unnecessary paperwork.
2. Interfering in communication. Communication should be free, brisk, and efficient. Lengthy e-mails about trivial matters and long meetings about nonessentials are time-wasters.
3. Hang-ups on form. Of course, your agency must adhere to laws, regulations, and their own policies. But form for the sake of form contributes nothing to your mission. Don't make it hard for employees to articulate a problem or suggest improvements.
4. Unnecessary positions. If there are unnecessary positions, transfers and right-sizing should be carried out carefully, according to a thought out plan, and above all, fairly.
5. Overwork. Obviously, we all work hard. But a corporate culture of burnout is not going to move your project, program, or agency in the right direction.
6. Look at reducing costs. All good businesses need to cut costs periodically. Look at your overhead, utility costs, office supplies, and travel costs.
7. Train employees to do a better job, and then mentor and monitor for accountability.
8. Discard all bad ideas (even if it was one of the favorites of the business plan) as soon as they are recognized as such.
9. Never forget that quality, integrity, and the mission come first.

SECTION 2 KEY PERFORMANCE INDICATORS TO MONITOR

Introduction

As in any business, you need to track key indicators. Track the primary measures of performance for your program, project, or agency, and use the secondary indicators as diagnostic tools if you need to.

It's not enough to monitor and track these performance indicators, however. These "report cards" should be available to staff and should guide regular and ongoing communication-is it getting better, staying the same (and is that good or bad?), or is it going downhill? If improvement needs to happen, here's where the conversation takes place-what is the plan? Who's going to do what differently, and when? How are you held accountable for performance of these key indicators? How are you (and the agency) holding your staff accountable?

Certainly, any improvement needed in key performance areas should be incorporated into your business plan. Strategies and activities to maintain high performance should be articulated as well. The answer to improvement and productivity is people knowing what's expected of them.

The following key areas of performance are not discussed in detail. You, as manager, should use PHAS and SEMAP as management tools, which means that you must thoroughly understand the scoring methodology, and carefully track the scores for your project and program.

Your improvement strategies will be based on identifying the most serious problems that can be remedied soonest, then assessing program vulnerabilities that will take longer to plan, and then deploying improvement strategies.

PHAS

The Public Housing Assessment System (PHAS) is how HUD monitors housing authorities. Just as (or more) important, it's how PHAs monitor their own performance.

HUD has published an interim rule conforming PHAS to asset management. Following are the PHAS indicators:

- Physical condition indicator is scored by HUD/REAC contractor's inspection of units inside and outside.
  - The projects must be functionally adequate, operable, free of health and safety hazards, and competitive in the marketplace. If projects have poor general appearance and low market appeal, vacancies will be high.
  - Score is based on the severity and location of the deficiencies observed during the inspection.
  - The PHA must generate and track work orders for deficiencies identified from these inspections.
  - Physical condition of the property can be improved by inspecting at least annually and generating work orders to repair. Asset planning is necessary to modernize and/or reconfigure projects, or to demolish obsolete projects.
- Financial condition indicator assesses whether the PHA (and the projects) have enough financial resources, and if these financial resources are being managed well. The three subindicators assess public housing only.
  - Quick ratio measures the project's liquidity or cash on hand.
  - Months expendable net assets ratio measures the project's adequacy of reserves, or financial viability.
  - Debt service coverage ratio measures whether the project has generated enough income to meet its regular long-term debt obligations.
  - Strategies to maximize or achieve optimum financial performance include filling units and collecting rent, accurate and timely financial reporting, property managers managing to and monitoring the property budgets.

- Management operations indicator assesses the PHA's performance of management operations through the management performance of each project.
  - Occupancy subindicator measures the occupancy for the project's fiscal year, adjusted for allowable vacancies.
  - Tenant accounts receivable subindicator measures tenant accounts receivable of a project against the tenant charges for the project's fiscal year.
  - Accounts payable subindicator measures the money that a project owes to vendors at the end of the project's fiscal year for products and services purchased on credit against total operating expenses.
  - Management reviews are considered critical by HUD for effective oversight of the public housing portfolio, but will not be scored under the interim rule. Instead, management reviews will be used for both compliance (not scored) and as a diagnostic tool for performance.
  - PHAs should review the draft form HUD-5834, proposed by HUD as a scoring tool for management reviews under the proposed PHAS rule, and use it as a template for their own project management reviews.
- Capital fund indicator examines the period of time it takes a PHA to obligate capital fund program monies and to occupy units. This indicator applies on a PHA-wide basis and not to individual projects.
  - Timeliness of fund obligation subindicator examines the period of time it takes for a PHA to obligate funds from the capital fund program.
  - Occupancy rate subindicator measures the PHA's occupancy rate at the end of the PHA's fiscal year.

Since PHAS now measures performance at the project level, it is essential to monitor and track the performance of each property. We will see some project reporting templates later in this chapter.

Performance of the Property

If you are a property manager, asset manager, or executive director of a PHA with public housing, you need to track the project's performance monthly. Occupancy rate and rent collection rate are especially critical. We'll cover this in more detail when we discuss monitoring the public housing project.

SEMAP

The Section 8 Management Assessment Program (SEMAP) is the report card for the rental assistance program. SEMAP was created to objectively measure key areas, identify management capabilities and deficiencies, improve HUD risk assessment for each problem identification, and provide a self-assessment tool for PHAs.

Key Performance Indicators

The housing authority is scored on indicators that pertain to their voucher program. The first seven indicators are determined by supervisory audit and PHA certification, independent audit, and confirmatory review if performed. It is crucial to show HUD that sampling is random and unbiased.

1. Waiting list. This includes written selection policies in the administrative plan for eligibility criteria, waiting list preferences, and screening. Families must be selected from the waiting list in accordance with the PHA's policies.
2. Reasonable rent. The PHA must have a reasonable written method to determine rent to owner is reasonable based on current rents charged for comparable unassisted units. Consideration is given to location, size, type, quality, age, amenities, housing services, maintenance, and utilities.
3. Adjusted income. At admission and annual reexamination, the PHA must:
    - Obtain third party verification or document why they were not able to obtain third party for income, assets over $5000, and expenses related to deductions;
    - Calculate allowances for medical, child care, and/or disability assistance expenses; and
    - Use the appropriate utility allowances.
4. Utility allowance schedule. The PHA has reviewed utility rate data within the last 12 months and has adjusted the schedule if there is a 10%+ change in rate since the last utility allowance schedule revision.
5. The PHA performs QC inspections of units under contract. Sampling is drawn from recently completed inspections, a cross-section of neighborhoods, and a cross-section of inspectors.

6. HQS enforcement. The PHA must ensure that when a unit fails an inspection, any life-threatening deficiencies are corrected within 24 hours, and all other deficiencies are corrected within no more than 30 calendar days. If deficiencies are not corrected within the required time frame, the PHA must stop housing assistance payments, or take prompt action to enforce the family obligations.
7. Expanding housing opportunities. This indicator applies only to PHAs in metropolitan areas. HUD assesses PHA efforts to encourage owner participation outside areas or poverty or minority concentration.
8. Payment standards. The PHA must adopt payment standards, by unit size, in the PHA jurisdiction, between 90-110% of the HUD-published Fair Market Rent (FMR).
9. Annual reexaminations. The PHA must complete a reexamination for each participating family at least every 12 months.
10. Correct tenant rent calculations. The PHA must correctly calculate the family's share of rent to owner.
11. Pre-contract HQS inspections. Newly leased units must pass inspection before the HAP contract effective date.
12. Biennial inspection. The PHA inspects each unit under contract at least annually (within 365 days).
13. Lease-up. The PHA enters into HAP contracts on behalf of eligible families for the number of units under the ACC. If the PHA has insufficient allocated budget authority to lease 98 or 95% of the units under the ACC, HUD will consider whether the PHA has used at least 98 or 95% of its allocated budget authority. We will cover this more when we discuss managing to the budget.
14. Family Self-Sufficiency (FSS). Applies only to PHAs required to administer an FSS program.

***Deconcentration bonus. Mandatory for a PHA using payment standards that exceed 100% of FMR set at the 50th percentile; optional for all other PHAs.

SECTION 3 MONITORING BUDGETS

Introduction

As we previously discussed, a budget is a plan—a reasonable estimate of the project, program, or agency revenues and expenditures. Moreover, a budget is a plan expressed in financial terms. For example, if you need to increase lease-up, either in the voucher or public housing program, you may need to budget for marketing collateral (e.g., brochures, updated websites, marketing events, etc.).

The budget is a forecasting tool and a monitoring tool. Managing to the budget helps you know if you're on track.

There are a number of types of budgets in a housing authority. For example, each public housing project has an operating budget and a capital budget. We'll work with the operating budgets here.

The Public Housing Budget

Role of the Manager and the Budget Process

The characteristics of a good budget process include:

- Bottom-up budgeting in which the staff are actively engaged in the process;
- Timely and consistent monitoring by property managers and program managers of actual to budget;
- Holding managers accountable for the financial performance of their projects or programs; and
- Providing management with corrective action plans when financial performance varies by an established benchmark.

Managing Public Housing Project-Based Budgets

PHAs with 250 or more (currently 400 or more, as granted annually by Congress) public housing units must manage to the asset management model, which includes project-based accounting, budgeting, and management[1].

Funding at the project level:

- Improves the operational efficiency and effectiveness of managing public housing assets;
- Provides appropriate mechanisms for monitoring performance at the property level;
- Better preserves and protects each asset; and
- Is consistent with norms in the multifamily and private rental real estate business models.

1. 24 CFR 990

Per Unit Month (PUM)

Budgets should be presented both in annual dollar amounts and per unit monthly (PUM) dollar amounts.

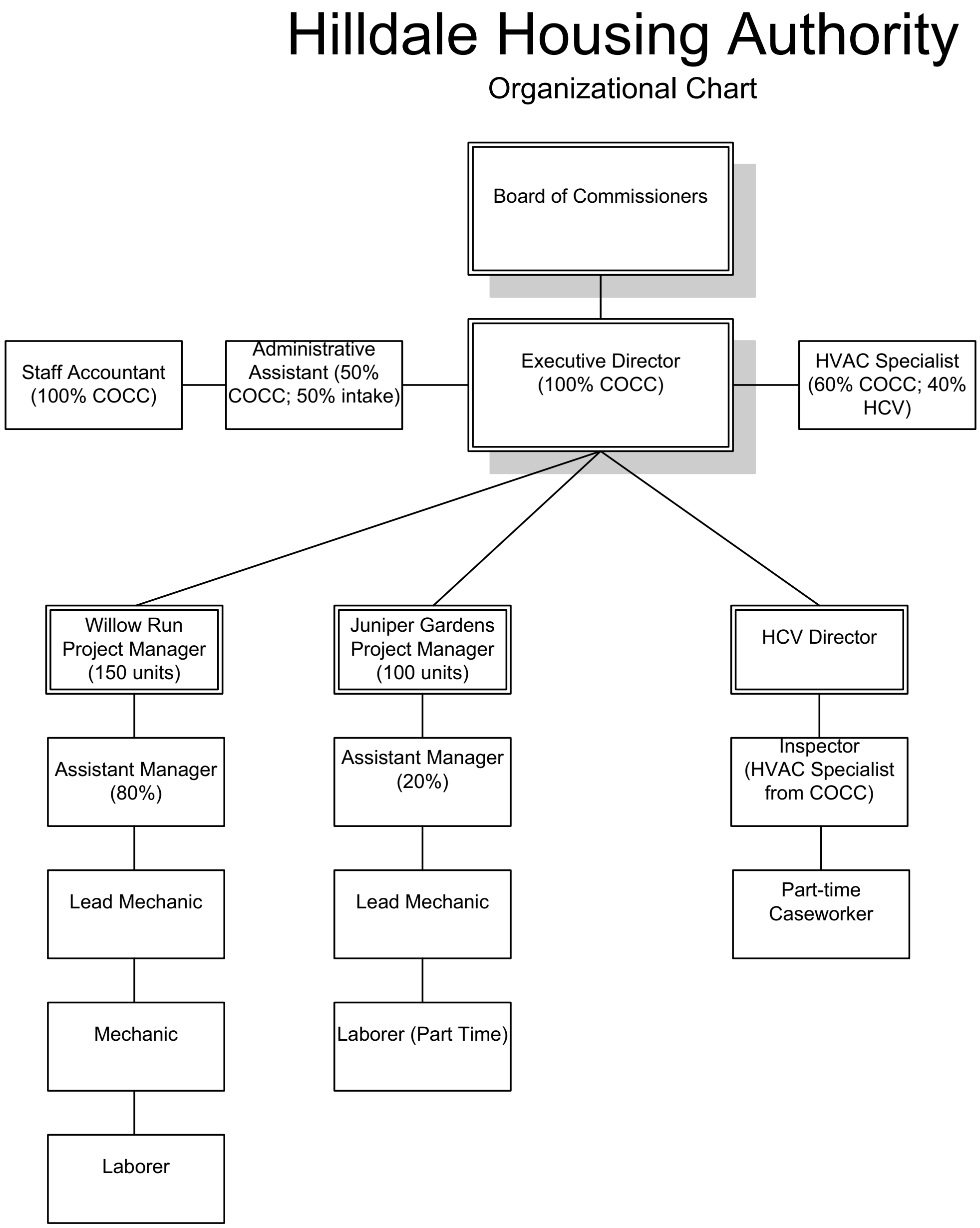
PUM amounts are an important factor in assisting the director and property manager in comparing properties of different sizes (number of units and types of units).

The aggregate dollar amount of some types of revenues and expenses will be greater for some properties than others by virtue of the number of units. If we just consider aggregate expenses and compare the expense of one property (say, maintenance) with another on an aggregate basis, we may come to the conclusion that if one property's expenses are lower, the property is doing a better job of controlling its maintenance expenses. But the reality might be that on a PUM basis we are actually spending more per unit.

> For example, last year AMP #1 spent $15,000 in heating and cooling costs, and AMP #2 spent $9,996. Based on these annual amounts, you might conclude that AMP #1 spent too much. But, because AMP #1 has 150 units and AMP #2 has 100, the PUM for heating and cooling for both properties was $8.33.

PUM applies to any category of expense or revenue-past, present, and future. For example, the property manager might want to look at the average rent for the last three years compared to this year.

PUM also allows the director to track expenses and revenues over time as the portfolio changes. For example, last year a PHA had 1,200 units in its portfolio. As a result of RAD conversion, this year the PHA has 800 units. Just looking at annual amounts doesn't give the director a way of comparing costs and revenues. PUM figures provide a picture of average amounts per unit.


Hilldale Housing Authority
Organizational Chart
Board of Commissioners
Staff Accountant (100% COCC)
Administrative Assistant (50% COCC; 50% intake)
Executive Director (100% COCC)
HVAC Specialist (60% COCC; 40% HCV)
Willow Run Project Manager (150 units)
Juniper Gardens Project Manager (100 units)
HCV Director
Assistant Manager (80%)
Assistant Manager (20%)
Inspector (HVAC Specialist from COCC)
Lead Mechanic
Lead Mechanic
Part-time Caseworker
Mechanic
Laborer (Part Time)
Laborer

Summary of Individual Project Budgets

Hilldale Georgia PHA
For the year ended 12/31/2021

	PUM Basis		Total/Budget Basis	
	Willow Run	***Juniper Gardens***	***WillowRun***	***Juniper Gardens***
Occupancy Type (family, senior, mixed)	*Family*	*Senior*	*Family*	*Senior*
Built Date	*1/1/1965*	*1/1/1981*	*1/1/1965*	*1/1/1981*
Date of Last Renovation	*1/1/1988*	*N/A*	*1/1/1988*	*N/A*
ACC Units	*150*	*100*	*150*	*100*
Estimated Occupancy Rate	*99%*	*96%*	*99%*	*96%*
Average Bedroom Size	*2.20*	*1.00*	*2.20*	*1.00*
Anticipated Number Turnovers	*18*	*22*	*18*	*22*

Operating Income:

Gross Potential Rent	207.07	214.00	$ 372,727	$ 256,800
Less: Vacancy Loss	(2.07)	(8.56)	$ (3,727)	$ (10,272)
Net Tenant Rental Revenue	205.00	205.44	$ 369,000	$ 246,528
Gross Potential Subsidy	299.13	195.45	$ 538,434	$ 234,540
Less: Vacancy Loss	2.88	2.66	$ 5,178	$ 3,195
Less: Proration Amount	33.02	21.58	$ 59,443	$ 25,893
Net Operating Subsidy	263.23	171.21	$ 473,813	$ 205,452
HUD PHA Operating Grant-CFP	0.00	0.00	$ -	$ -
Other Tenant Charges	3.00	3.00	$ 5,400	$ 3,600
Excess Utilities	0.00	0.00	$ -	$ -
Investment Income	4.00	4.00	$ 7,200	$ 4,800
Fraud Recovery	0.00	0.00	$ -	$ -
Non-Dwelling Rent	3.00	9.00	$ 5,400	$ 10,800
Other Income	8.00	12.00	$ 14,400	$ 14,400
Total Operating Income	489.11	407.31	$ 880,391	$ 488,775

Operating Expenditures:

Administrative

Administrative Salaries	39.23	42.14	$ 70,616	$ 50,564
Employee Benefits - Administrative	14.91	16.01	$ 26,834	$ 19,214
Auditing Expense	2.00	2.00	$ 3,600	$ 2,400
Management Fees	51.54	49.98	$ 92,771	$ 59,973
Bookkeeping Fees	7.43	7.20	$ 13,365	$ 8,640
Advertising and Marketing	0.00	0.00	$ -	$ -
Office Expense	4.99	3.13	$ 8,980	$ 3,755
Legal Expense	6.00	3.00	$ 10,800	$ 3,600
Travel	0.00	0.00	$ -	$ -
Other Administrative Costs	11.46	8.97	$ 20,628	$ 10,764
Total Administrative	137.55	132.43	$ 247,594	$ 158,910

Asset Management Fee	10.00	10.00	$ 18,000	$ 12,000

Tenant Services

Tenant Services - Salaries	0.00	0.00	$ -	$ -
Employee Benefits- Tenant Services	0.00	0.00	$ -	$ -
Relocation Costs	0.00	0.00	$ -	$ -
Tenant Services-Other	11.00	6.00	$ 19,800	$ 7,128
Total Tenant Services	11.00	6.00	$ 19,800	$ 7,128

Summary of Individual Project Budgets

Hilldale Georgia PHA
For the year ended 12/31/2021

	PUM Basis		Total/Budget Basis	
	Willow Run	*Juniper Gardens*	*WillowRun*	*Juniper Gardens*
Utilities				
Water	27.01	16.80	$ 48,132	$ 20,160
Electricity	48.97	34.75	$ 87,265	$ 41,700
Gas	41.23	0.00	$ 73,472	$ -
Fuel	0.00	36.88	$ -	$ 44,256
Sewer	18.00	11.20	$ 32,076	$ 13,440
Other__________________	0.00	0.00	$ -	$ -
Total Utilities	135.21	99.63	$ 240,944	$ 119,556
Maintenance				
Labor	55.00	43.67	$ 99,000	$ 52,400
Employee Benefits - Maintenance	22.00	17.47	$ 39,600	$ 20,960
Maintenance Materials	22.00	15.00	$ 39,600	$ 18,000
Maint. Contract:			$ -	$ -
Garbage and Trash Removal Contracts	8.00	3.00	$ 14,400	$ 3,600
Heating & Cooling Contracts	8.62	8.49	$ 15,516	$ 10,188
Snow Removal Contracts	0.00	0.00	$ -	$ -
Elevator Maintenance	0.00	6.00	$ -	$ 7,200
Landscape & Grounds Contracts	7.00	2.00	$ 12,600	$ 2,400
Unit Turnaround Contract	0.00	0.00	$ -	$ -
Electrical Contracts	2.00	2.00	$ 3,600	$ 2,400
Plumbing Contracts	2.00	2.00	$ 3,600	$ 2,400
Extermination Contracts	3.00	3.00	$ 5,400	$ 3,600
Janitorial Contracts	0.00	0.00	$ -	$ -
Routine Maintenance Contracts	0.00	0.00	$ -	$ -
Other Misc. Contract Costs	14.08	11.92	$ 25,344	$ 14,300
Total Maintenance	143.70	114.54	$ 258,660	$ 137,448
Protective Services				
Protective Services - Labor	0.00	0.00	$ -	$ -
Employee Benefits - Protective Services	0.00	0.00	$ -	$ -
Protective Services Contract Costs	6.00	0.00	$ 10,800	$ -
Protective Service Other	0.00	0.00	$ -	$ -
Total Protective Services	6.00	0.00	$ 10,800	$ -
Insurance				
Property	12.73	15.16	$ 22,920	$ 18,190
General Liability	9.04	10.42	$ 16,280	$ 12,500
Worker's Comp.	2.22	1.43	$ 4,000	$ 1,710
Other Insurance	0.00	0.00	$ -	$ -
Total Insurance	24.00	27.00	$ 43,200	$ 32,400
General Expenses				
Other General Expense	1.00	1.00	$ 1,800	$ 1,200
Compensated Absences	0.00	0.00	$ -	$ -
Payments in Lieu of Taxes	6.70	5.69	$ 12,060	$ 6,823
Bad Debt-Tenants	3.76	1.52	$ 6,772	$ 1,824
Severance Expense	0.00	0.00	$ -	$ -
Total General Expenses	11.46	8.21	$ 20,632	$ 9,847
Total Operating Expenditures	478.92	397.80	$ 862,064	$ 477,362
Excess Revenue Over (Under) Operating Expenses	10.18	9.51	$ 18,327	$ 11,413

Summary of Individual Project Budgets

Hilldale Georgia PHA
For the year ended 12/31/2021

	PUM Basis		Total/Budget Basis	
	Willow Run	*Juniper Gardens*	*WillowRun*	*Juniper Gardens*
Non-Operating Expenses				
Extraordinary Maintenance	0.00	0.00	$ -	$ -
Casualty Losses - Non-capitalized	0.00	0.00	$ -	$ -
Depreciation Expense	0.00	0.00	$ -	$ -
Fraud Losses	0.00	0.00	$ -	$ -
Interest Expense	0.00	0.00	$ -	$ -
Total Non-Operating Expenses	0.00	0.00	$ -	$ -
Excess Revenue Over (Under) Expenses	10.18	9.51	$ 18,327	$ 11,413
Conversion to Cash Flow (before Other Financing Sources (Uses)				
Add back: Depreciation Expense				
Deduct: Debt Service Payments (if any)	0.00	0.00	$ -	$ -
Cash Flow Before Other Financing Sources (Uses)	10.18	9.51	$ 18,327	$ 11,413
Other Financing Sources (Uses)				
Operating Transfers In	0.00	0.00	$ -	$ -
Operating Transfers Out	0.00	0.00	$ -	$ -
Inter Project Excess Cash Transfer - In	0.00	0.00	$ -	$ -
Inter project Excess Cash Transfer - Out	0.00	0.00	$ -	$ -
Transfers Between Programs & Projects-In	0.00	0.00	$ -	$ -
Transfers Between Programs & Projects-Out	0.00	0.00	$ -	$ -
Total Other Financing Sources (Uses)	0.00	0.00	$ -	$ -
Net Cash Flow	10.18	9.51	$ 18,327	$ 11,413

Staffing	**Willow Run**	**Juniper Street**
Site Manager	$45,000	$39,000
Assistant Manager	$20,000	$5,000
Centralized Intake Clerk	$5,616	$6,864
Maintenance Lead Mechanic	$40,000	$38,000
Mechanic I	$35,000	$0
Janitor (full-time)	$24,000	$0
Janitor (part-time)	$0	$14,400

Preparing the Budget

As a property manager, you will be involved with the following steps to develop your budget:

- ***Meeting with management to define property goals for the year.*** A goal for the year may be to improve general appearance and curb appeal to increase lease-up. You'll need to define objectives and goals in financial terms.
- ***Identifying project revenue.*** The two largest sources of income for public housing are operating subsidy and rents. As a property manager, you can't affect levels of operating subsidy, but you do directly affect rent collection.
    - Revenue sources for the project, in addition to operating subsidy and rent, typically include other tenant charges, excess utilities, investment income, fraud recovery, nondwelling rent, and other income. Another large source of income is the Capital Fund Program (CFP), which has its own budget.

- ***Determining project level expenses.*** You'll probably look at historical data for some of these figures. Other estimates may require market data, such as current utility rates. Remember, some of your strategic goals may require that more money is spent on the strategies needed to achieve those goals. You may need to find ways to cut costs in other areas.
  - A public housing project typically has numerous expenses, including administrative costs (salaries and benefits), utilities, maintenance (labor and materials), tenant services, insurance, general expenses, protective services, and fees paid to the central office cost center.
  - When you're estimating project expenses, keep in mind:
    - Strategic goals for the project;
    - Plans that would impact spending such that planned expenses will fall outside historical averages; and
  - Expected price increases for wages, goods and services.
  - Although not required by HUD, many housing authorities require that property managers also prepare monthly budgets, which show estimated income and expenses in the months in which they will occur. Monthly budget amounts are not always straight-lined from the annual amounts. For example, lawn care expenses will typically take place to the greatest extent during the growing season, or utilities will be highest when the demand is highest for the type of utility.
- ***Determining if the plan is feasible.*** The asset manager, public housing director, or executive director will compare project budgets to each other, and to fee income estimated to be paid by the projects to the central office.
- ***Presenting the plan to management.*** Once the budget has been determined to be feasible, it will be presented to the executive director, who will take it to the board.
- ***Obtaining board approval.***

Again, once the budget is finalized, the property manager will then need to monitor how the project is performing against budget. This is done by reviewing actual-to-budget reports that are typically provided to the property manager by the accounting department.

What if the Project's Budget Shows a Loss?

As the project manager, you may need to make some strategic decisions. Some decisions may be made by the central office. Here are some options:

- Increase income. Filling the units and collecting the rent are the two most effective ways to increase income.
- Reduce expenditures.
- Use project reserves, if available.
- Use CFP funds to increase operating subsidy. For agencies with less than 250 public housing units, the operating fund and CFP are completely fungible. For larger housing authorities, 20 percent of CFP funds may be used for operating.
- Receive transfers from other projects that have excess cash.
- Central office defers, reduces, or forgives fees.

Again, the central office cost center will decide on the use of some of these options.

Monitoring the Budget-to-Actual

It's important to monitor the progress of the budget on a monthly basis. You'll review both the income line items (rent, other income, etc.) and the expense line (maintenance costs, office supplies, contract costs, etc.)

When reviewing the budget-to-actual report (usually produced by the accounting department), you should identify variances. The variance is a comparison between what was budgeted (estimated) and what actually happened. A favorable variance is when the actual income is greater than the budgeted income, or when the actual expense is less than the budgeted expense.

Developing a financial plan (a budget) at the project level and holding site based staff accountable for the financial performance of a project is a major component of asset management. Property managers are accountable for managing the financial resources of their properties and should be knowledgeable about variances in income and expense.

Monitoring the Property

Property management includes managing the budget. Meet monthly with property management staff. The property manager should review maintenance priorities daily with the maintenance supervisor, who should be tracking maintenance inventory and work order costs. The property manager should walk the property at least weekly to spot any safety hazards or other issues that could result in high costs and/or liability.

The Housing Choice Voucher Budget

One of the most important responsibilities of the housing choice voucher supervisor is to understand the program's budgets and ensure that the department operates their program within the financial resources available to the HCV program.

An effective HCV supervisor needs a basic understanding of:

- The ACC and funding exhibit
- How the program is financed
- The funding and leasing utilization requirement under the program
- The HCV budgets
- Monthly financial reports and communication with finance/fee accountant about the financial status of your program
- Tracking systems
- Budget amendments

How the Program is Financed

Congress appropriates funding. HUD determines the amount of funding for the calendar year for each PHA from the amount appropriated. The PHA utilizes funding to pay for housing assistance payments (HAP) and administrative fees for administering the HCV program.

Maximizing the use of funding directly impacts the following calendar year's budget authority.

Administrative fees are earned based on the number of units leased on the first day of each month. Maximizing leasing will maximize the amount of administrative fees that will be received, directly impacting the PHA's financial viability.

The HCV Budgets

There are two separate budgets for the HCV program:

- Housing Assistance Payments (HAP)
- Administrative Fees (AF)

Each funding allocation is separately allocated to the PHA, and may only be utilized for the purpose it was appropriated for by Congress.

Housing Assistance Payments

PHAs have strict guidelines on what HAP funding may be used for. Below are some key requirements and restrictions:

- PHAs may not utilize HAP funds to overlease, which occurs when a PHA has more unit months under HAP contract for the calendar year than available HAP funds and/or unit baseline under the ACC, even if the PHA has sufficient HAP budget authority to support additional unit months.
- PHAs can over-lease in one month, but their total unit months leased (UML) in a year cannot exceed 12 times their ACC-authorized (baselined) units, even if there is annual budget authority (ABA) available.
- If a PHA finds that it is overleased, or will be overleased at the end of the CY, the PHA must identify other funding sources to pay for the overleasing, and take immediate steps to eliminate current overleasing.

Ongoing Administrative Fees

Administrative fees are paid to a PHA for the ongoing administration of the HCV program. Administrative fees may only by used for activities related to the Section 8 tenant-based rental assistance program.

Administrative fees are earned when a PHA issues a housing choice voucher to an eligible family. Fees are paid based on the number of units under lease on the first day of each calendar month.

Monitoring Your Funding

Let’s take a look now at how to monitor these types of funding. This monitoring is similar to the “budget-to-actual” monitoring in public housing.

Monitoring the HAP Account

The HCV supervisor is responsible for ensuring the HAP budget authority is used to assist as many eligible program participants as possible, without exceeding the PHA's baseline (authorized units and budget dollars). The HCV supervisor needs to understand how many units the HAP budget authority will support. Because HAP expenses change on a monthly basis as families move into or off the program and annual, interim re-exams and rent increases cause the monthly HAP outlay to fluctuate, vigilant analysis of the HAP budget is needed to ensure the PHA is operating at maximum capacity without exceeding its budget authority.

PHAs are expected to utilize a minimum of 98 percent of budget authority and/or baseline unit months in order to achieve high performer status under SEMAP.

PHAs may lease over authorized baseline units in a given month or months, but must not exceed baseline units by the end of the calendar year.

Failure to lease all the units possible (within baseline) within the total funding amount may impact future funding.

Voucher Management System

The Voucher Management System (VMS) is how you report your voucher utilization and spending each month. As ABA for one year is based on previous year’s spending, VMS must be accurate. Your software program will have a VMS module that prepares your submission for HUD’s system.

What you spend each month will be used by HUD’s Two-Year Tool to forecast future spending. To ensure success, as a manager you should monitor your HAP register regularly, review and perform quality control on at least a sample of outgoing payments before every check run, work closely with finance, and ensure that you can account for any discrepancies or variances in FMS.

HUD's Two-Year Tool (TYT)

Many PHAs experience large swings in lease-up, followed by attrition, and then cutbacks to avoid overspending.

The TYT was designed to assist HUD and PHAs in analyzing a PHA's utilization situation. The Excel spreadsheet projects HCV leasing, spending, and funding over a four-year period. The tool is available through HUD's HCV webpage.

Good projections that affect input into the TYT require six key variables:

- Eligibility success rate: Percent of selected families receiving vouchers
- Eligibility determination time: How long it takes from waiting list selection to voucher issuance
- Success rate: Percent of vouchers resulting in lease
- Turnover rate: Participants leaving the program
- Issuance to leasing time: What percent of families lease up and when?
- Actual per unit cost (PUC)

As a manager, you should monitor program factors using the TYT at least monthly to create, monitor, and update the HCV program's leasing plan to maximize utilization.

Monitoring the Administrative Fee Account

The operations of the HCV program are funded by the fees earned on a monthly basis by the PHA, and depend completely on lease-up rates. Maintaining maximum occupancy in the program is not only important because the PHA has a duty to assist as many families as possible within its available HAP resources, but also because the ability of the PHA to pay for program costs depends on these fees.

The Administrative (Operating) Budget

The HCV supervisor must not only be familiar with the formulas used to determine the PHA's earned administrative fees and be able to maximize HAP utilization, but must also be familiar with the operating expenses for their program and be prepared to assist in preparing and monitoring the budget. You will be coordinating with your financial department in planning and projecting program expenses and fees.

Preparing the annual budget for the HCV program requires that fixed and regular periodic costs be allocated first. Fixed and regular periodic costs include salaries of HCV staff and those administrative staff persons that provide services to the HCV program (such as the accounting staff, executive director, and other support staff), benefits, insurance, building overhead, supplies and materials, building maintenance and utilities, etc. Once fixed costs and regular periodic expenses are identified and budgeted, the PHA can allocate the use of discretionary funds to other items, such as staff training or travel to conferences and workshops. The HCV supervisor should keep track during the year of program needs and provide that information to the accounting department during the budget preparation process, in order to ensure the budget takes into consideration program needs, such as replacement of computers or other equipment.

The operating budget consists of two basic elements: revenue and expenses.

When projected revenues exceed expenses, the PHA is able to keep the excess fees earned in the HCV program in the administrative fee reserve account (project reserves) to offset higher operating costs in future years, or to pay for large items that the PHA may not be able to purchase from its annual budget.

When projected expenses exceed revenue, the PHA may draw from its administrative fees reserves, but should be careful that these expenses are not ongoing, but rather one-time expenses (non-recurring).

PHAs are not required to use a particular budget format. However, the budget must accurately reflect revenues and expenses, and must be approved by the board.

Following is an example of a housing choice voucher budget.

Housing Choice Voucher Budget - FYE 12-31-20XX		
REVENUE:		Explanation
Administrative Fees	762,755.00	Estimated @ 98% occupancy
Fraud Recovery	5,000.00	
Portability Admin Fees	2,500.00	For incoming vouchers not absorbed
Interest for Admin Fees Invested	3,000.00	
TOTAL REVENUE	**773,255.00**	
EXPENSES:		
Admin Salaries	463,953.00	2.2% Cost of Living over 2024 budget
Legal	12,000.00	
Staff Training	5,000.00	
Travel	2,000.00	
Audit & bookkeeping	16,000.00	
Telephone	3,000.00	
Contract Costs- Admin	5,000.00	
Admin Sundry	2,000.00	
Lodging & Meals	2,000.00	
Port Out Admin Fees	2,000.00	
Office Supplies	25,000.00	
TOTAL ADMIN. EXPENSES	**537,953.00**	
Electricity	10,000.00	
Other Utilities	3,800.00	
Total Utilities Exp.:	**13,800.00**	
Other Expenses:		
Alarm Expense	**1,200.00**	
Insurance	**3,500.00**	
Employee Benefits:		
F.B. W.C.	25,000.00	
F.B. FICA	15,000.00	
F.B. SUI	5,000.00	
F.B. Health & Dental	40,000.00	

Retirement (Employer Cont)	60,000.00	
Total General Exp.	**145,000.00**	
Equipment Replacement	**35,000.00**	**1 New Inspection vehicle** **8 new computers**
TOTAL ADMIN COSTS	**$736,453.00**	
NET Admin (Revenue/Loss)	**$36,802.00**	**To Reserves (Unrestricted Assets)**
HAP REVENUE ACC	**$3,600,600.00**	
HAP EXPENSES	**$3,600,600.00**	
NET HAP (Revenue/Loss)	**$0.00**	

Monitoring the Operating Budget

The PHA's accounting department typically generates a monthly financial report. A copy of the income and expense report for the HCV program should be provided to the HCV directors and supervisors in order to provide needed information on the status of program income/expenses.

As the HCV supervisor or manager, you should analyze the monthly financial report and use the information in the report to cut expenses when possible or make recommendations for budget revisions as needed.

Understanding that the PHA needs to operate the program within the available funding sources is a key element in managing the HCV budget. If expenses are higher than revenue and exceed budget projections, the supervisor needs to be prepared to make recommendations for budget revisions that would shift funds from one line item in the budget to a more critical line item or reduce administrative expenses.

Monitoring on a regular basis (monthly) will ensure that, if necessary cuts are made early enough in the fiscal year, the agency operates within its resources and that budget revisions, when necessary, can be prepared and submitted to the board on a timely basis.

Lakeville Housing Authority Operating Budget Forecast FY 1/1 – 12/31						
	COCC	***AMP 1***	***AMP 2***	***HCV Program***	***Non-Profit***	***Total***
Income	**$**	**$**	**$**	**$**	**$**	**$**
Dwelling Rent	-	405,540	210,760	-	-	616,300
Vacancy Loss	-	(12,170)	(10,540)	-	-	(22,710)
HUD Op Sub/Admin Fees	-	289,284	363,222	58,387	-	710,903
Funding Prorations	-	(14,464)	(18,161)	(11,679)	-	(44,304)
HAP Funding	-	-	-	489,240	-	489,240
Management Fees	239,130	-	-	-	-	239,130
CFP Management Fees	62,790	-	-	-	-	62,790
Bookkeeping Fees	24,410	-	-	-	-	24,410
Asset Management Fees	33,120	-	-	-	-	33,120
Tenant Revenue – other	-	8,650	7,210	-	-	15,860
Other Income	2,230	11,500	5,100	1,190	17,950	84,020
Interest Income	1,100	32,000	40,000	150	10,770	84,020
Total Income	**362,780**	**720,340**	**587,591**	**537,298**	**28,720**	**2,246,729**
Expenses	**$**	**$**	**$**	**$**	**$**	**$**
Administrative						
Administrative Salaries	166,860	62,300	51,550	21,780	2,090	304,580
Employee Benefits	60,490	30,380	26,260	10,440	850	128,620
Management Fees	-	138,440	98,290	2,400	-	239,130
Bookkeeping Fees	-	13,970	10,440	-	-	24,410
Asset Management Fees	-	19,200	13,920	-	-	33,120
Auditing	950	4,129	3,000	950	240	9,260
Advertising	570	2,570	1,890	-	-	5,030
Office Supplies	13,730	6,630	7,260	1,380	5,410	34,410
Legal Expenses	4,500	-	-	-	-	4,500
Travel	2,900	500	250	50	1,900	3,800
Accounting	15,540	-	-	-	-	15,540
Other Admin Sundry	7,960	8,750	6,710	5,030	1,900	30,350
Tenant Services Salaries	-	-	-	-	-	-
Tenant Services Benefits	-	-	-	-	-	-
Tenant Services	**200**	**1,450**	**16,480**	**-**	**-**	**18,130**
Water	**-**	**28,980**	**3,830**	**-**	**-**	**32,810**
Electricity	**-**	**26,290**	**9,460**	**-**	**-**	**35,750**
Gas	**-**	**29,460**	**5,330**	**-**	**-**	**34,790**
Sewer	-	26,410	1,890			

Lakeville Housing Authority Operating Budget Forecast FY 1/1 – 12/31						
	COCC	*AMP 1*	*AMP 2*	*HCV Program*	*Non-Prof it*	*Total*
Maintenance Labor	820	87,900	90,500	-	3,200	182,420
Maintenance Benefits	300	37,920	29,820	-	680	68,720
Garbage	-	6,200	12,210	-	-	18,410
Heating & Cooling	-	3,560	1,120	-	-	4,680
Snow Removal	-	-	1,670	-	-	1,670
Elevator	-	8,500	-	-	-	8,00
Landscape/Grounds	-	1,940	4,660	-	-	6,600
Unit Turnaround	-	-	-	-	-	-
Electrical	-	2,160	2,920	-	-	5,080
Plumbing	-	10,050	8,940	-	-	18,990
Pest Control	-	7,030	3,970	-	-	11,000
Janitorial	-	-	-	-	-	-
Routine Maintenance	100	1,440	900	-	-	2,440
Other Maint Contracts	260	17,170	19,320	140	740	37,360
Protective Serv Salaries	-	-	-	-	-	-
Protective Serv Benefits	-	-	-	-	-	-
Protective Serv-Other Contracts	-	3,130	4,850	-	-	7,980
Property Insurance	-	28,830	20,900	-	1,330	51,060
General Liability Insurance	4,760	4,720	3,920	530	60	13,990
Workers Comp Insurance	6,850	6,780	5,640	770	90	20,130
Other Insurance	-	940	620	-	-	1,560
Other General Expenses	-	-	-	-	770	770
Compensated Absences	20,740	11,300	12,960	920	320	46,240
Collection Losses	-	5,500	5,500	-	-	11,000
PILOT	-	28,220	17,970	-	320	46,510
HAP Payment				489,240		489,240
Extraordinary Maintenance	-	-	-	-	-	-
Repl of Equip/Betterments	-	30,000	3,500	-	-	33,500
HUD Repayment Agreements	-	-	-	-	-	-
Total Expenses	**308.730**	**751,170**	**579,410**	**534,000**	**20,370**	**2,193,680**
Net Operating Cash Flow (Deficit)	**54,050**	**(30,830)**	**18,181**	**3,298**	**8,350**	**53,049**
Number of Months Operating Reserve	**11.06**	**36.43**	**42.41**	**2.83**	**431.86**	**N/A**

Audits

Every housing authority that expends $1,000,000 or more in federal funds must undergo an audit of its financial statements each fiscal year. The audit must be conducted by an auditor independent of the agency. The purpose of the audit is to ensure that the PHA's financial statements are sound and present an accurate picture of the agency's financial condition.

If the auditor finds no problems, they will give an "unqualified" opinion, which means that the auditor can give a firm opinion based on documentation. Any type of "qualified" opinion means that the auditor has some level of concern with the records or processes reviewed. A qualified opinion can be damaging to the credibility of the agency.

A "finding" is a monetary irregularity or condition that is not in compliance with statutory or regulatory requirements.

A "concern or observation" is a deficiency that needs to be brought to the attention of the housing authority but isn't in noncompliance with a statutory or regulatory requirement.

Section 4 Setting up a Quality Control System

Introduction

A quality control system is how you measure success by establishing key areas of performance to monitor. You need to understand both where you are now (this is your baseline) and track performance (trend analysis).

The purpose of a quality control system is to:

- Prevent errors in high-stakes or unrecoverable areas of liability and compliance;
- Enable you to take action in areas where performance is lacking;
- Document (and celebrate!) improvements in performance; and
- Incrementally enhance the overall quality of your project, program, and/or agency.

An effective quality control system facilitates conversations about expectations for staff. It also enables you, as a manager, to be proactive rather than reactive. You can more quickly identify performance areas that aren't working and take steps toward improvement.

Sometimes quality control affirms your assumptions. Your team is doing great! Or, you knew one of your employees needed more training in conducting annual reexaminations. Your QC reports will support your recommendations and suggestions.

But sometimes QC results are a surprise. If so, they're even more valuable to you! The results may highlight problems you were unaware of or may show that performance is exceeding your expectations.

Three Types of Quality Control

Periodic quality control. This type of quality control is usually conducted by higher-level management as needed (at least annually) to review policies, procedures and forms. Defining the 504 coordinator function, reviewing the annual reexamination forms and processes, and updating the administrative plan and ACOP are examples of periodic quality control.

- If you are a frontline supervisor or middle manager, your recommendations regarding necessary revisions to policies, forms, and processes are crucial. You may be far more aware of the need for improvements than the executive team or policy writers.

Preventive quality control. High-stakes issues that represent potential liability or money impact should be reviewed before they "go out the door." Reviewing termination cases before a hearing, reviewing any denial of a request for a reasonable accommodation, and following up on all insurance risks are examples of preventive action.

Continuous quality control. This fact-based check of critical performance areas extends from the frontline supervisor up through every level of supervision to the executive director and the board. Continuous quality control is the monthly identification of these critical areas of performance. You can't check everything, so you (and the agency) need to identify the most important areas to track.

- For example, in the area of income determination and rent calculation, you might set up a QC schedule whereby you check five of each staff person's files monthly and report the results appropriately.
- Over time, there may be a staff person who never makes a mistake—you may decide to check his or her files quarterly. But you have to start out treating everybody the same; otherwise there may be an appearance of favoritism.
- Real quality control drills down to the core of the function. To review income determination and rent calculation, for example, you'll compute your own answer based on EIV, third-party verification, and family-provided documents. For vacancy rates, you'll look at move-out logs, make-ready assignments, and rent rolls (if the family didn't pay the rent and is still living in the unit, what is going on?).

Quality control reports need to reflect financials, occupancy (public housing), and program performance. SEMAP, PHAS, actual-to-budget, annual reexamination (if applicable), and other compliance data should also be reported.

What Quality Control Means to You as a Supervisor

Supervisors use quality control reports as their primary tool to measure staff productivity. The reports show patterns of great work and where improvement is needed. The patterns and trends are most important; staff understands that having a "bad month" is not as important as the overall pattern of performance.

Again, the purpose of a quality control system is to ensure that all team members are held to the same standard, and to drive personal and professional accountability. Practical results of a good QC system include:

- Less complaints about workload
- Sense of healthy competition improves morale
- Everyone understands the system because it's transparent, fair, and fact-based
- Outstanding staff are obvious to all
- Allows for greater efficiencies with no additional hires

Quality Control – Reexaminations

Your housing authority needs an efficient, fair, and fact-based way to measure the productivity of staff and the quality of the work produced. Monthly quality control and reporting ensures that annual reexaminations are conducted timely and accurately.

Implementing a QC System

Following are the tasks in the QC function for reexaminations:

- Gather data and produce the performance measurements reports
- Perform quality file audits
- Oversee and check quality audits
- Maintain spreadsheets
- Reconcile EIV error reports

So that everyone knows what to expect and what is expected, the PHA should plan out and clearly communicate a roll-out plan for the implementation of the QC system. For example:

- Data gathering and measurement chart distribution to staff begin on a certain date.
- Transitional period may run for six month while staff gets accustomed to the new standards. The transition period also allows workloads to be shifted.
  - It's important to test thoroughly before implementation to ensure that the data is correct.
  - The QC system should have a disputation procedure to ensure transparency and accuracy of data.
  - The system must also ensure that changes are made if errors in the data are found.

Productivity performance and quality measurements are effective on a certain date.

Productivity and Quality

Productivity measures number and timeliness of reexaminations (all types) and eligibility interviews performed.

- Productivity standards should be tailored to each position so that the most important aspects of the job are tracked and incorporated into the QC reports.
- Productivity standards:
  - **Falls Below Standard:** Does not complete assigned certifications on time.
  - **Meets/Exceeds Standard:** Completes assigned certifications on time.
  - **Outstanding:** Consistently completes assigned certifications on time or ahead of schedule, a resource to others.

Quality is measured by comprehensive file audits to ensure high quality work.

Reports

Each month the department's management team receives a copy of all performance measurement charts. Each staff member receives a copy of the chart pertaining to him, showing all statistics but only his name, so he can see where he ranks among everyone else while maintaining anonymity. Each staff person also receives a memo (example below) which gives a summary of his statistics. Supervisors are copied on the e-mail as well, so that the information can be used for performance evaluations.

Following are some examples of reexamination QC checklists and reports:

Learning Activity 7-1: Reexamination Quality Control

Look at the quality control reexamination report that follows. You supervise four employees who determine income and calculate rent.

- How many files do you review monthly? ____________________
- What do you know from looking at this report? ____________________

____

- What doesn't this report tell you? ____________________

____

Jan	Case Load	Number of Files		Files with Errors		Types of Errors					
		Completed	Reviewed	Number	%	Verif	Income	Allow	Data Entry	Policy	Late
G. Monroe	350	15	4	4	100%	3	0	1	0	0	2
T. Hill	364	38	4	0	0%	0	0	0	0	0	0
A. Summers	320	24	4	4	100%	4	0	0	0	0	2
K. Rosemary	340	42	4	2	50%	0	0	1	0	0	0
Feb											
G. Monroe	350	25	4	2	50%	2	0	0	0	0	1
T. Hill	364	32	4	0	0%	0	0	0	0	0	0
A. Summers	320	28	4	4	100%	0	1	3	0	0	3
K. Rosemary	340	22	4	3	75%	1	0	2	0	0	0
Mar											
G. Monroe	350	24	4	1	25%	0	0	1	0	0	1
T. Hill	364	30	4	0	0%	0	0	0	0	0	0
A. Summers	320	23	4	4	100%	1	1	2	0	0	3
K. Rosemary	340	25	4	3	75%	0	0	3	0	0	0

Quality Control – Reports to Monitor Public Housing Project Performance

Key data for the public housing projects must be reported and analyzed. This information will form a baseline against with managers can measure progress over time (trend analysis). The PHA should set benchmarks for acceptable performance, which should at the least meet PHAS standards.

There may be somewhat different standards for different projects. For example, one project may be an older project in a neighborhood struggling to revitalize; the standard for occupancy at that development may be 97%, while other projects are expected to maintain a 98% occupancy or above.

Following are examples of reports, mostly from HUD's stop-loss kit, to use for monitoring project performance.

Quality Control – Housing Choice Voucher Program

PHAs may want to put some thinking into establishing a master quality control schedule, so that key data for all programs is reported and analyzed. Again, this doesn't mean that everything is checked every month. Start simply, but start. Checking four files per month in key categories consistently is more important than making your QC system so complicated that you can't keep it up. Don't pretend you can check everything.

Following is a master quality control schedule for the housing choice voucher program. Look it over and discuss what would be most useful for your agency to implement next in their QC schedule for the housing choice voucher program

Quality Assurance Schedule (to be customized for PHA/customer needs; add any special programs or requirements)

Program Area		Focus	Review Elements	Satisfactory Measurement Threshold	Review Requirements	Frequency	Responsibility
1. Finance	A	Checks, Balances, Audit trails	Determine if: financial controls ensure: o Safeguarding of funds o Financial accountability o Corporate integrity o Sufficient audit trail is in place	o Adequate safeguards are in place o Transactions clearly reflect initiator o Records maintained as required by HUD o Recordkeeping contains verifiable evidence of all transactions	o For all elements, review of financial processes, procedures, documents and recordkeeping	o All elements: Quarterly	
	B	Reporting Requirements	HUD reporting requirements are met in a timely manner, including: o Quarterly VMS reporting o FYE FDS submission o FYE Audited FDS/IPA report Internal financial reporting requirements are met	o 100% timely reporting	o Monitor VMS reporting records o Monitor submission of FDS/audited FDS/IPA report o Monitor internal financial reporting is complete by 15th bus. day each month	o VMS: quarterly o FDS: 2 mos post FYE o Audited FDS/ IPA rept: 9 mos post FYE	
	C	Reporting accuracy	o Accurate VMS reporting o Accurate self audit o Accurate FDS reporting o Accurate internal reporting	o 100% accuracy in all elements	o Same as 1B	o Concurrent with 1B	
	D	HAP Accuracy	o Accurate and timely payments o Correct HAP payments made to correct owner in accordance with current electronic data o Correct and timely processing of manual and back payments o Retro adjustments correct; retro HAP collected appropriately o Current repayment records; timely notification to staff of payment arrears	o 100% accurate payments o 98% accurate processing of manual payments within required time frame o Overpayment collection data current within 30 days o Late payment notification to staff within 10 business days	o Compare s/w report to HAP registers o 10% of manual payment requests compared to HAP registers o 15% of collection records reviewed compared to collection receipts o Review 15% of late payments and records of notification to staff	o All elements: Quarterly	

Program Area		Focus	Review Elements	Satisfactory Measurement Threshold	Review Requirements	Frequency	Responsibility
2. SEMAP	A	Selection from the Waiting List	Determine o whether the PHA has written administrative plan policies for selection applicants from the waiting list o if the PHA follows those policies when selecting applicants for admission from the waiting list	o PHA has waiting list selection policies o PHA follows policies in selecting applicants from the waiting list at least 98% of the time	o Universe: number of admissions o Sample: applicants who reached the top of the waiting list; families admitted to the program o Both: determine if policies were followed for selection from the waiting list Sample size: first, ensuring SEMAP minimum sample size requirements are met, then 5% of files (based on previous month activities)	o Monthly	
	B	Reasonable Rent	Determine o If PHA has compliant rent reasonable (RR) methodology o If RR determinations were conducted at required events, following policy	o PHA's RR policy is reasonable o RR determinations were conducted and documented at required events in at least 98% of the files	Universe: assisted families o Sample: total of files where the following events occurred: o Initial lease up o Rent increase o HAP contract anniversary if 5% decrease in published FMR effective 60 before contract anniversary o HUD or PHA required RR redetermination o Review policy and RR documentation in each file o Sample size: see 2A	o Monthly	

Program Area		Focus	Review Elements	Satisfactory Measurement Threshold	Review Requirements	Frequency	Responsibility
2. SEMAP (cont)	**C**	Determination of adjusted income	Determine o If, at admission and annual reexam, the PHA verifies and correctly determines adjusted annual income for each family, including using appropriate utility allowance	o At least 90% of files are correct	o Universe: The number of assisted families o Independently calculate adjusted income o determine if verification requirements are met o determine if correct utility allowance applied o Sample size: first, ensuring SEMAP minimum sample size requirements are met, then 10% of files (based on previous month activities)	o Monthly	
	D	HQS quality control inspections	Determine whether PHA supervisor / other qualified person reinspected a sample of units under contract during the FY, drawn from recently completed HQS inspections (within 3 months of preceding inspection), and if QC inspection sample represents a cross section of neighborhoods and a cross section of inspectors	o The number of QC inspections conducted met minimum sample requirements, were conducted within required time frames, and represented cross section of neighborhoods and inspectors	o Review QC inspection records for compliance	o Monthly	

Program Area		Focus	Review Elements	Satisfactory Measurement Threshold	Review Requirements	Frequency	Responsibility
2. SEMAP (cont)	E	HQS enforcement	Determine whether, following each HQS inspection of a unit under contract where the unit failed HQS o Cited life-threatening HQS deficiencies were corrected within 24 hours o Non-life threatening HQS deficiencies were corrected within 30 days of the inspection or any PHA approved extension o If HQS deficiencies were not corrected timely, whether the PHA stopped HAP beginning no later than the first of the month following the specified correction period or terminated the HAP contract, or, for family caused defects, took prompt and vigorous action to enforce family obligations.	o All life-threatening HQS deficiencies were corrected within 24 hours of the inspection o For at least 98% of cases sampled, all other cited HQS deficiencies were corrected within no more than 30 calendar days from the inspection or any PHA approved extension o If HQS deficiencies were not corrected timely, the PHA stopped HAP payments beginning no later than the first of the month following the correction period or took prompt and vigorous action to enforce family obligations.	o Universe: number of families assisted o Sample: The number of failed HQS inspections o Review to see if HQS deficiencies were corrected within required timeframes. If not corrected within required time frames, determine if PHA took appropriate action in a timely manner o Sample size: See 2A	o Monthly	
	F	Annual reexaminations	Determine whether the PHA completed a reexamination for each participating family at least every 12 months.	o Fewer than 5% of all PHA reexaminations are more than 2 months overdue.	o Universe: number of participating families o Review IMS / PIC records for timely/late reexaminations	o Monthly	
	G	Pre-contract housing quality standards (HQS) inspections	Determine whether newly leased units passed HQS inspection on or before the beginning date of the assisted lease and HAP contract	o At least 98% of newly leased units passed HQS inspection before the beginning date of the assisted lease and HAP contract	o Universe: Newly leased units o Review files to determine if units passed HQS inspection before the date of the assisted lease and HAP contract o Sample size: See 2A	o Monthly	

Program Area		Focus	Review Elements	Satisfactory Measurement Threshold	Review Requirements	Frequency	Responsibility
2. SEMAP (cont)	**H**	Annual HQS inspections	Determine whether the PHA inspects each unit under contract at least annually	o Fewer than 5% of annual HQS inspections of units under contract are more than 2 months overdue	o Universe: Units under contract o Review IMS/PIC records for timely/late annual HQS inspections	o Monthly	
	I	Lease-up	Determine whether the PHA enters HAP contracts for the number of units reserved under ACC for at least one year; if the PHA has not done so, determine whether the PHA has expended sufficient budget authority	o The percent of units leased during the PHA fiscal year was 98% or more or the percent of allocated budget authority expended during the last PHA fiscal year was 98% or more	o Review internal financial records to determine ytd lease up (units and budget authority) o Compare VMS and lease-up data	o Monthly	
	J	Family self-sufficiency	Determine whether o The PHA has filled 80% or more of its mandatory FSS slots o If 30% or more of FSS families have escrow account balances	o The PHA has filled 80% or more of its mandatory FSS slots; and o 30% or more of FSS families have escrow account balances	o Review internal financial and FSS and records to determine o the number of families currently participating in FSS plus those families who have fulfilled their FSS contract; compare to mandatory slots o the number of families who have escrow accounts plus those families who have received their FSS escrow accounts o Determine if required levels are met o Sample size: See 2A	o Monthly	o

Program Area		Focus	Review Elements	Satisfactory Measurement Threshold	Review Requirements	Frequency	Responsibility
2. SEMAP (cont)	K	Utility Allowance Schedule	Determine whether the PHA has reviewed utility rate data within the last 12 months, and adjusted its utility allowance schedule if there has been a change of 10% or more in a utility rate since the last time the utility allowance schedule was revised	○ The PHA has reviewed utility rate data within the last 12 months, and adjusted its utility allowance schedule if there has been a change of 10% or more in a utility rate since the last time the utility allowance schedule was revised	○ Review utility allowance schedule and back up documentation to determine if requirements have been met	○ Annually	
	L	Payment Standards	Determine whether the PHA has adopted a payment standard schedule that establishes voucher payment standard amounts by unit size for each FMR area in the PHA jurisdiction, and, if applicable, separate payment standard amounts by unit size of a PHA-designated part of an FMR area, which payment standards do not exceed 110% of the current applicable FMRs, and which are not less than 90% of the current applicable published FMR unless a higher or lower payment standard amount is approved by HUD	○ The PHA's payment standard schedule contains payment standards which do not exceed 110% of the current applicable published FMR and are not less than 90% of the current applicable published FMR unless approved by HUD	○ Review current FMRs, payment standard schedule, and documentation of HUD approval for payment standards that exceed 110% or are less than 90%	○ Annually, and at any time payment standards are revised	
	M	Correct tenant rent calculations	Based on MTCS reporting, the PHA correctly calculates family share of the rent to owner	○ 2% or fewer of PHA family share of the rent to owner calculations are incorrect	○ Review IMS/PIC data records to determine calculations that are incorrect based on data sent to HUD by the PHA on Forms HUD-50058	○ Quarterly	

Program Area		Focus	Review Elements	Satisfactory Measurement Threshold	Review Requirements	Frequency	Responsibility
3. IMS - PIC	A	Timely Submissions	Determine whether IMS – PIC data is submitted timely	○ 98% timely submission of IMS – PIC data	Addressed with 2.F (annual reexams) and 2.H (annual HQS inspections		
	B	Accuracy of information submitted	Monitor accuracy of submitted IMS – PIC data	○ 98% of data submitted to IMS – PIC is accurate	Addressed with 2.M (correct tenant rent calcs) and 3.C. (correcting IMS-PIC data)		
	C	Correction of IMS – PIC errors	Monitor timely correction of IMS – PIC errors	○ Corrected within 5 business days of submission / month end reconciliation	○ Monitor IMS – PIC transaction logs to ensure addressed within 5 bus days of 50058 transmission	○ Monthly	
4. Portability	A	IHA: document submission to RHA	Determine whether required documents were submitted to RHA accurately and timely	○ 98% of documents were submitted to RHA accurately, and by HUD required deadlines	○ Review portability log to ensure all family data is properly entered, and requirements were met	○ Monthly	
	B	IHA: timely payments to RHA	Monitor timeliness of initial and monthly payments to RHA	○ 98% of payments were made timely to RHA	○ Review financial records to determine if payment deadlines were met	○ Bi-monthly	
	C	IHA: family status	Monitor 'closure' of outcomes of families porting out	○ 100% of port out families properly accounted for	○ Review portability log to ensure family status is determined or that follow up actions have been taken	○ Bi-monthly	
	D	RHA: IHA document receipt	Monitor accuracy / timeliness of documents received by IHA	○ 100% of required documents are received in a timely manner or appropriate action is taken	○ Review portability log to ensure all family data is properly entered and requirements were met	○ Monthly	
	E	RHA: document submission to IHA	Monitor accuracy / timeliness of document submission to IHA	○ 98% of documents were submitted to IHA accurately, and by HUD required deadlines	○ Review portability log to ensure all family data is properly entered and requirements were met	○ Monthly	
	F	RHA: receipt of timely payments	Monitor receipt of IHA payments	○ 98% of payments are rec'd in a timely manner or appropriate action is taken	○ Review financial records to determine payments were received	○ Bi-monthly	

Program Area		Focus	Review Elements	Satisfactory Measurement Threshold	Review Requirements	Frequency	Responsibility
5. EIV	A	Income Discrepancy Report (IDR)	Determine whether HUD's EIV IDR has been run and if discrepancies have been addressed in accordance with established threshold	○ 100% : IDR has been obtained and analyzed ○ 98% of families with discrepancy levels over the threshold have been addressed	○ Review IDR with responsible party ○ Review dates obtained ○ Review actions taken ○ Review tracking logs	○ Quarterly	
	B	EIV security	Determine whether family EIV records are maintained separate from files in a secure location	○ 100%	○ Review EIV storage location to ensure secure ○ In the course of file reviews, identify any EIV data stored inappropriately in the family file	○ Quarterly	
6. Criminal History	A	General criminal history checks	Determine whether required criminal history background checks took place in accordance with policy	○ 100% policy followed	○ Review new admission files to determine if background checks took place in accordance with policy ○ Sample size:10%	○ Quarterly	
	B	Consent Forms	Determine whether required consent for release of criminal conviction records is on file for adult household members	○ 100%	○ Concurrent with 6.A, review new admission files to determine if required consent forms are on file ○ (Same sample as 6.A)	○	
	C	Sex offender lifetime registrant criminal history check	Determine whether required sex offender registrant check took place for all applicants	○ 100% applicant check	○ Concurrent with 6.!, review new admission files to determine if sex offender registration checks took place ○ (Same sample as 6.A)	○ Quarterly	

Program Area		Focus	Review Elements	Satisfactory Measurement Threshold	Review Requirements	Frequency	Responsibility
7. Inspections (Non-SEMAP)	**A**	Initial inspection	Monitor intervals between date of unit availability per RTA and inspection	o 100% unit inspection within 15 days, unless owner or family causes delay	o Review initial inspection logs and related RTAs o Sample size:10%	o Quarterly	
	B	Reinspections	Review intervals between notification of HQS deficiency correction and reinspection	o Non-life threatening fails: 100% unit reinspection within 10 business days, unless owner or family causes delay o Life threatening fails: 100% unit reinspection within 5 bus. days, unless owner or family causes delay	o Review inspection logs, including communication of deficiency correction o Sample size: life threatening fails: 100% o Sample size: non-life threatening fails: 5%	o Quarterly	
	C	Customer communication	Review notifications of inspection to owner/family Review notification of results to owner/family	o Annual inspections: owner/family provided written notice at least two weeks prior to inspection: 99% o Inspection results: owner/family provided written notice within 5 business days of inspection: 99%	o Review inspection logs and copies of written communications o Sample size: 5%	o Quarterly	
	D	Complaint inspections	Monitor interval between date of inspection request and inspection	o 100% within 5 business days, unless owner or family causes delay, or o If responsible party causes delay, action is taken	o Review inspection logs and copies of written communications o Sample size: 100%	o Quarterly	
	E	Timeliness of lifting HAP abatements	Determine that owner HAP abatements are lifted in a timely manner	o 98% of HAP abatements are lifted within 5 business days of HQS deficiency correction	o Review documentation of owner correction of HQS deficiency, date of inspection, date of abatement being lifted o Sample size: 10% o	o Monthly	

Program Area		Focus	Review Elements	Satisfactory Measurement Threshold	Review Requirements	Frequency	Responsibility
Briefings	**A**	Briefing Information	Determine if briefing information is provided consistently and as required	o 100%	Attend briefing, review: o is information provided compliant with policy and 982.301 (a); o does briefing packet include requirements in policy and 982.301 (b), and LBP notice	o Quarterly	
8. Voucher Issuance	**A**	Voucher size	Determine if voucher size is correct	o 99%	o Review family composition and subsidy standards as outlined in PHA policy o Sample size: 5%	o Quarterly	
	B	Voucher term	Determine that initial voucher term is correct	o 99%	o Review voucher issuance date and expiration date o Sample size: 5%	o Quarterly	
	C	Extensions	Determine that extensions were granted correctly	o 99%	o Review extension requests and outcome o Sample size: 5%	o Quarterly	
	D	Suspensions	Determine that suspensions were granted and calculated correctly	o 99%	o Review voucher expiration date, date of receipt of RTA, date of unit availability for inspection, days added to voucher o Sample size: 5%	o Quarterly	
	E	50058 reporting	Determine that initial voucher issuance was reported to HUD on form HUD-50058, Action Code 10	o 100%	o Review form HUD-50058 o Sample size: 5%	o Quarterly	
	F	Receipt of RTA	Determine if RTA was received prior to voucher expiration	o 100%	o Review voucher and receipt date of RTA o Sample size: 10%	o Quarterly	

Program Area		Focus	Review Elements	Satisfactory Measurement Threshold	Review Requirements	Frequency	Responsibility
9. HAP Contract Execution	**A**	RTA	Determine that RTA is complete and signed by family and prospective owner	○ 100%	○ Review RTA for completeness ○ Sample size: 5%	○ Quarterly	
	B	Eligible Unit	Determine that the unit is an eligible unit type	○ 100%	○ Concurrent with 9.A., review RTA for eligible unit type ○ Sample size: 5%	○ Quarterly	
	C	Lease	Determine that the lease is in the file	○ 100%	○ Review file for presence of lease ○ Sample size: 5%	○ Quarterly	
	D	Tenancy addendum	Determine that the lease includes the tenancy addendum	○ 100%	○ Concurrent with 9.D., review file for tenancy addendum ○ Sample size: 5%	○ Quarterly	
	E	Affordable rent	Determine that the rent to owner is affordable under 24 CFR 982.305 (a) (5)	○ 100%	○ For new admissions/ moves, where gross rent exceeds payment standard, review Total Family Share - cannot exceed 40% of the annual adjusted income ○ Sample size: 10%	○ Quarterly	
	F	Owner verified	Determine that the unit owner is verified per PHA policy	○ 100%	○ Review owner documentation ○ Sample size: 5%	○ Quarterly	
	G	Utilities/ unit type	Determine that utility responsibilities and unit type/size are consistent in documentation		○ With SEMAP: Ind. #3; review RTA, inspection forms, lease, HAPC		
	H	HAPC execution	Determine that the HAP contract is executed within 60 days of beginning of the lease term	○ 100%	○ Review lease effective dates and HAPC execution dates ○ Sample size: 5%	○ Quarterly	
	I	HAPC	Determine that a properly executed HAP contract is in file	○ 100%	○ Concurrent with 9.H ○ Sample size: 5%	○ Quarterly	

Program Area		Focus	Review Elements	Satisfactory Measurement Threshold	Review Requirements	Frequency	Responsibility
10. Denials and Terminations	A	Supervisor Approval	Determine denial / termination was approved by Team Leader	○ 100%	○ Review files to check for Team Leader approval ○ Sample size: 5%	○ Quarterly	
	B	Opportunity to Dispute	If denial/term. is due to criminal background record, determine that applicant/participant was provided an opportunity to appeal the criminal record as inaccurate or irrelevant prior to denial or termination	○ 100%	○ Review files for notice of opportunity to appeal criminal record ○ Sample size: 5%	○ Quarterly	
	C	Action Appropriate	Determine if denial/termination action was in accordance with requirements/policy	○ 100%	○ Review denial / termination documents to determine if action was taken appropriately ○ Sample size: 10%	○ Quarterly	
11. Hearings and Reviews	A	Notice to family	Determine that family was correctly notified of opportunity to appeal	○ 98%	○ Review notice to family to ensure provided timely; information included as to what can be appealed; how to appeal; and deadline by which to appeal ○ Sample size: 5%	○ Quarterly	
	B	Scheduling	Determine if Informal Review / Hearing was scheduled timely	○ 95%	○ Review family request for Review/Hearing; review scheduled date of review/hearing ○ Review schedule ○ Sample size: 5%	○ Quarterly	
	C	Discovery	Family informed of family / PHA right to Discovery	○ 95%	○ Concurrent with 11.B., review notice of Review/Hearing date for Discovery information ○ Sample size: 5%	○ Quarterly	

Program Area		Focus	Review Elements	Satisfactory Measurement Threshold	Review Requirements	Frequency	Responsibility
Family files	**A**	File structure	Review files for consistency of organization		○ With SEMAP Ind. #3, review files for proper filing and consistency of organization		
	B	File security	Determine if family files are secure	○ 100%	○ Perform random area checks to ensure security of applicant/participant files	○ Monthly	
Customer Service	**A**	Overall customer satisfaction	Monitor complaints, outcomes, customer service survey results	○ No complaints or all complaints counseled and resolved	○ Review customer complaint records, including outcomes, review customer service surveys to determine positive trends	○ Monthly	
	B	Owner rent increase requests	Determine if owner rent increase requests are processed and that owners are notified of results in a timely manner	○ 98% of owner rent increases are processed, and owners notified, within 5 business days of receipt of rent increase request	○ Review documentation of owner request for rent increase, date RR was performed, and notification to owner (and family, when increase is approved) of result ○ Sample size: 5%	○ Quarterly	

Program Area		Focus	Review Elements	Satisfactory Measurement Threshold	Review Requirements	Frequency	Responsibility
Fair Housing	A	General fair housing	Equal opportunity poster PHA notice to families on how to fill out and file a housing discrimination complaint.	○ Posted in all PHA offices	○ Physical inspection	○ Annually	
	B	PHA Plan	“Right to request” statements on intake and annual forms and posters	○ 100%	○ Check documents	○ Annually	
	C	LEP	PHA policies for applicants and participants	○ 100% implemented	○ Collaborations in place ○ Staff trained ○ Competent oral interpreters identified ○ Key documents translated	○ Quarterly in first two years, then annually	
	D	VAWA	VAWA policies established, implemented, and trained	○ 100% implemented	○ Admin Plan updated ○ Collaborations formed with advocacy groups ○ Forms and protocols established ○ Staff trained on VAWA policies	○ Quarterly in first two years, then annually	

SECTION 5 SUCCESSION PLANNING

PHAs are realizing, as they develop long-range and strategic plans, that they need to plan for new leadership. As current leaders and content experts prepare to retire, the PHA needs to make sure that historical and critical information is not lost.

Succession planning is a process for identifying and developing internal personnel with the potential to fill key or critical organizational positions. Planning strategically to move the PHA into the next generation ensures the availability of experienced and capable employees prepared to assume these roles as they become available. The transition of qualified employees from individual contributors to managers and leaders is thus systemic and accelerated.

Succession planning:

- Prepares current employees to undertake key roles;
- Develops talent and long-term growth;
- Improves workforce capabilities and overall performance;
- Improves employee commitment and therefore retention;
- Meets the career development requirements of existing employees;
- Improves support to employees throughout their employment;
- Counters the increasing difficulty of recruiting employees externally;
- Focuses on leadership continuity and improved knowledge sharing; and
- Provides more effective monitoring and tracking of employee proficiency levels and skill gaps.

Succession planning is a necessary part of an organization's ability to reduce risk, create a proven leadership model, improve staff morale, and ensure business continuity.

SECTION 6 QUALITY IMPROVEMENT

Eight Principles for Quality Improvement

Improving and maintaining quality and integrity performance requires a commitment in all areas of your job.

If you set the example, articulate the vision and communicate expectations, and establish and track an effective quality control process, the natural result should be consistent and high quality performance.

There are eight basic principles for achieving and maintaining quality:

1. Customer satisfaction

   This may be the most important element in creating and maintaining quality in your activities. Unless you satisfy your customers—landlords, families, community partners, internal partners, and the public—you will face an increasing number of complaints.

   If you earn high customer satisfaction, your staff will feel more supported to do their work.

   The public perception of your PHA and your professional reputation is at stake in everything you do.

2. Prevention

   If you can identify a problem early, you can potentially prevent a major cost—in money, in time, in reputation—by investing a minor cost and effort in fixing the error early. Be vigilant for emerging problems.

3. Employee empowerment

   Your workers are your "frontline troops." They are the closest to the details of any given process, and can provide vital information about how to improve the process.

   Create a work climate that fosters a sharing of responsibility, participative input and feedback, working with and not for each other, and a climate of mutual trust.

4. Your commitment

   You are responsible for leading the vision of quality. You must set the example by demonstrating the principles and practices of integrity in your own behavior. You must be the champion of the vision of doing your best every day, in the "little" things as well as the "more important" things. This leadership cannot be delegated to someone else.

5. Total responsibility

   Although you must help lead the effort, quality is everyone's responsibility from the line staff all the way up to the executive director. Everyone has internal or external customers to satisfy, and each has some of the vital information about how to improve the quality of the specific processes they work with every day.

   You instill this sense of responsibility in your staff and in others by demonstrating it yourself.

6. Decisions based on facts

   Do not make assumptions about the causes of problems; instead, gather data and test this data to see if your hunches are correct.

   Get the opinions and perspectives of others who are working with you. Also, be careful to give factual information to those in authority, rather than telling them your opinion of what you think they want to hear.

7. Continuous improvement

   When you meet your customers' expectations, they will come to expect that you will continue to perform at this higher level, and they will then look for you to make other improvements.

8. Improvements should be measured in terms of quantitative feedback from customers—residents, landlords, community partners, the public.

   For example, "Our complaints have dropped from 25% to 5% over the one-year period since we began to make improvements in our inspection schedule."

   Establish a baseline measure of customer satisfaction or dissatisfaction before you start to improve the process in question, and measure progress on a regularly-scheduled basis.

   You can do this through talking to residents and landlords, paper surveys, e-mail or phone customer service follow-ups and other formal and informal data collection methods.

Section 7 Summary

Planning is an essential management function. Planning is deciding where you want to go, why you want to go there, how you will get there, what you need in order to get there, and how you will know if you're there or not.

You have to watch the "vital signs" of your project, program, or agency—is it doing well or getting better? In that case, you're doing something right. Keep doing it! Is your project, program, or agency not performing well or going in the wrong direction? In that case, doing the "same old, same old," even if you're doing it harder and harder, isn't going to turn it around. You have to come up to a higher level of understanding both in terms of where you are now and where you want to go. The simple formula is a plan, leadership, and monitoring the plan! The planning involves identifying what you need in order to get there and how you'll know if you're heading in the right direction. This is what is fondly known as trend analysis, but it doesn't matter what you call it—it matters that you do it. You're going to watch the "vital signs" and recalibrate as needed. Plans are living and working documents, not eternal truths. When plans are seen as guides that can be changed, a great deal of learning can occur.

Chapter 7 - My Career Map

List here what you learned in this chapter about your responsibilities as a supervisor for planning and monitoring. We will return to this information again as you move through this course.

Who and Where I Am	NOW	Who and What I Want to Be	What I Will Do	Date
My Responsibilities for Key Indicators (PHAS/SEMAP):				
My Responsibilities for Budgeting:				
My Responsibilities for Quality Control:				
My Planning & Monitoring Strengths:				
My Planning & Monitoring Challenges:				

SECTION 8 CHAPTER 7 POST TEST

1. The Public Housing Assessment System (PHAS):
   a. Includes assessment of the central office cost center (COCC)
   b. Covers all elements of the public housing program
   c. Assesses the physical, financial, and management operations of each project
   d. Includes fair housing deficiencies in assessing management operations
   e. All of the above

2. Analysis of the external environment is not part of business planning, as new regulations and the local marketplace have no impact on housing authority operations.
   a. True
   b. False

3. The PHA's business plan articulates goals but does not plan for implementation.
   a. True
   b. False

4. The two largest sources of income for a public housing project are:
   a. Housing Assistant Payments and tenant rents
   b. Maintenance and admin fees
   c. Tenant rents and excess utility charges
   d. Operating subsidy and tenant rents
   e. Utilities and capital funds

5. A budget is an official HUD form and must be approved by HUD.
   a. True
   b. False

6. Reviewing key indicators of employee performance monthly is an example of what type of quality control?
   a. Periodic quality control
   b. Continuous quality control
   c. Preventive quality control
   d. Risk assessment quality control
   e. Hypothetical quality control

7. In the housing choice voucher program, the PHA may lease over the number of authorized baseline units in a given month or months, but must not:
   a. Spend over amount budgeted
   b. Use administrative fees for the housing choice voucher waiting list
   c. Exceed baseline units by the end of the calendar year
   d. Hire additional staff in the housing choice voucher program
   e. Terminate any housing choice voucher participants for any reason

8. What are the important tasks in establishing a quality control system for reexaminations?
   a. Gather accurate data and produce reports monthly
   b. Perform monthly file audits on an established number of files for each employee
   c. Maintain roll-up or aggregate reports for analysis of results and to identify areas of concern
   d. Reconcile PIC error reports
   e. All of the above are necessary tasks

9. An effective quality control system should do all of the following except:
   a. Track trends over time
   b. Check all files of all employees monthly
   c. Establish roll-up or aggregate reports
   d. Track productivity as well as quality
   e. Identify key areas of program performance to monitor

10. Monitoring revenues vs. expenses monthly is done by studying what report?
    a. The actual-to-budget report
    b. The HAP budget
    c. Rent roll
    d. Financial subindicators under PHAS
    e. Administrative fees

11. In developing a strategic plan, succession planning may emerge as a need. Succession planning means:
    a. Planning for financial success
    b. Planning for independence from city or county government
    c. Planning for new leadership
    d. Ensuring that retirement benefits remain intact
    e. All of the above

12. The auditor's report should render a qualified opinion.
    a. True
    b. False

13. The Public Housing Assessment System (PHAS) is a management tool for property managers and asset managers, as well as a monitoring system for HUD.
    a. True
    b. False

14. An important part of business planning is developing a budget.
    a. True
    b. False

15. A budget:
    a. Is a HUD-required template
    b. Is developed by HUD for each program within the PHA
    c. Is a plan expressed in financial terms
    d. Can never be revised
    e. Contains expenses but not revenues

16. Under the new asset management model, public housing property managers will have more responsibility and accountability to administer the project as a business.
    a. True
    b. False

17. A continuous quality control (QC) system for annual reexaminations of your staff would include which of the following?
    a. Quality (error rates)
    b. Productivity (number of reexams)
    c. Late reexams
    d. Types of errors
    e. All of the above

18. The two types of funding for the Housing Choice Voucher program are Housing Assistance Payments (HAP) and:
    a. Capital funds
    b. Operating subsidy
    c. Administrative fees
    d. Family share of rent

19. If the Housing Choice Voucher program is over leased (exceeds baseline units) at the end of the calendar year, HUD will provide additional funding.
    a. True
    b. False

SECTION 9 CONTINUED LEARNING

Performance Measures Memo Example

Any Town Housing Authority

March 8, 2010 **Rental Assistance Program**

Bob Jones

You are receiving important information and feedback regarding the timely processing of certifications for the month of **February, 2010.**

Your certification information:

75 annual reexaminations processed	**0%** processed late*
39 interims processed	**0%** processed late **
0 annual reexam searchings processed	**0** processed other caseload

YTD OOccupancy/Leasing averages:

234 annual reexaminations processed	**1%** processed late*
118 interims processed	**2%** processed late **
0 annual reexam searchings processed	**0** files processed other caseload

Late Annual Reexaminations: None

Late Interims: None

See attached for the monthly statistics comparison table.

Thank you,

The Rental Assistance Program Supervisory Team

* For annual reexaminations, late is defined as completed less than 30 days before effective date of reexamination.

** For interims, late is defined as completed 51 or more days after the effective date.

Quality File Measurement Example

HA Staff Name	HA ID	Team	Tenant Name	Tenant ID	Accurate Income Calculation	Accurate Asset Calculation	Accurate Allowances/ Deductions	Correct Utility Allowance	Verification Hierarchy Followed	If UIV verification unavailable, thorough documentation about why a lower level of verification was used	Acceptable SSN verification documentation on file, or documentation of why SSN verification is either not required or available.
Total					0	0	0	0	0	0	0

PHA-required identifying documentation is on file. (i.e. birth certificate, picture ID, etc.)	Citizenship documentation is on file and SAVE information if required	HUD 9886 signed by head, spouse or co-head, and all other adult household members	Correct voucher size assigned and signed voucher is on file	Accurately completed lease and contract	For new admissions only: Income eligible and admission criteria correct	Preferences verified	Payment error/ Adjustment Correct amount collected or repaid	Correct move in & out date	No errors found	Fwd file for correction
0	0	0	0	0	0	0	0	0	0	0

The following is a sample of a monthly Public Housing property report, followed by a sample of a portfolio tracking report.

PHA Monthly Project Report

AMP 1 – Juniper Gardens

August

1. Property Narrative

In August we hosted the annual graduation celebration. Mayor Walker attended.

Occupancy has remained 98% or above for the 15th straight month and rent collections reached 98% for the first time this month.

Two months ago, we started the use of a mini-model apartment to show vacant units (the kitchen and bathroom are decorated with attractive curtains, towels, and accessories). The mini-model gets moved to the longest-vacant unit.

2. Physical Occupancy

a Unit Type	*b* Total Units	*c* Occupied Units	*d* Capital Fund (Mod)	*e* Other Exemptions	*f* (d + e) Total Exemptions	*g* Vacant Units	*c/b%* Gross Occupancy	*c/(b-f)%* Adjusted Occupancy
0 BR								
1 BR								
2 BR	100	92	4	2	6	8	92%	98%
3 BR								
4 BR								
5 BR								
Total								

3. Waiting List

Unit Type	Number of Applications			
	Total	RRO1	PEO3	PEO1
1 BR				
2 BR	148	8	19	121
3 BR				
4 BR				
5 BR				

RR01 = application approved / ready to be housed / awaiting ready unit
PE03 = passed credit and criminal check, pending other verification
PE01 = application received

PHA Monthly Project Report
AMP 1 – Juniper Gardens
August

4. Site-Based Waiting List Demographics (if applicable)

		Date of Site-Based 6-1-08	Current
Ethnicity	Not Hispanic or Latino	53%	52%
	Hispanic or Latino	47%	48%
Race	White	38%	36%
	Black/African American	45%	46%
	American Indian/Alaska Native	5%	6%
	Asian	112%	11%
	Native Hawaiian/Pacific Islander	1%	1%
Disability	Persons with Disabilities	2%	5%

5. List All Vacant Units and Their Status

Address	BR	Projected Ready Date (mm/dd/yy)	Anticipated Lease Date (mm/dd/yy)	Offer Accepted?
411 Juniper #A	2	9/12	9/20	Yes
413 Juniper #C	2	8/31	9/5	No
411 Juniper #B	2	9/5	9/5	Yes
411 Juniper #D	2	9/8	9/12	No

6. List All Vacant Units and Their Status

Address	BR	Projected Ready Date (mm/dd/yy)	Anticipated Lease Date (mm/dd/yy)	Offer Accepted?
411 Juniper #A	2	9/12	9/20	Yes
413 Juniper #C	2	8/31	9/5	No
411 Juniper #B	2	9/5	9/5	Yes
411 Juniper #D	2	9/8	9/12	No

PHA Monthly Project Report
AMP 1 – Juniper Gardens
August

7. Customer Traffic *(optional, useful for site-based waiting lists)*

Walk-ins inquiring about the property	10
Telephone inquiry calls	17
Applications taken	25
Interest letters with brochures sent	20

8. Promotions/Advertising Narrative

New color postcard was printed last month, and it seems to be increasing customer calls and walk-ins.

9. Recertifications / Annual

Outstanding at start of month	7
Due to be completed this month	20
Completed for this month	25
Ending backlog	2

10. Annual Unit Inspections

Total units to be inspected for the year	100
Number completed: start of month	37
Number inspected for the month	8
Number completed: year to date	45
Total left to be inspected for the year	55

Have all building system inspections been completed?	☐Yes ☒No
If yes, enter date	

11. Lease Enforcements

Lease warnings issued	3
Lease violations issued	2
Abandonment letters	0
30-day lease terminations	0
30-day notice nonpayment of rent	2

PHA Monthly Project Report
AMP 1 – Juniper Gardens
August

12. Evictions

List all tenants on formal eviction/court summons, then all households for whom a judgment was issued, the date of the judgment, and the action (dismissal, eviction, etc.)

Resident Name	Reason (30-day, 172-hour)	Summons Date	Judgment Action
None this month			

Continue on a separate sheet if necessary

13. Non-Emergency Work Orders

	This Month	Year-to-Date
a. Beginning balance from previous month(s)	8	34
b. Number of non-emergency work orders active – include work orders active from previous month(s)	47	97
c. Total number of calendar days to complete non-emergency work orders in b (above)	204	771
d. Number within b (above) generated by tenant	21	42
e. Total number of calendar days to complete tenant-generated work orders in d (above)	63	175
f. Average number of calendar days to complete non-emergency work orders (c/b)	4.3 days	7.9 days
g. Average number of calendar days to complete tenant-generated work orders (e/d)	3.0 days	4.2 days

14. Emergency Work Orders

	This Month	Year-to-Date
a. Total requested/issued	2	32
b. Completed/abated within 24 hours in a (above)	2	32
c. Percent completed within 24 hours (b/a)	100%	100%

15. Rent Collections

	This Month	Year-to-Date
a. Rent owed. Do not include damage charges, late fees, excess utility charges, legal fees, or retroactive rent charges	120,000	10,040,000
b. Arrears, tenants in possession	7,000	4,820
c. Total charges (a+b)	127,000	10,044,820
d. Rent collected	124,998	9,735,800
e. Rent collection rate (d/a)	98%	97%

PHA Monthly Project Report
AMP 1 – Juniper Gardens
August

16. Aged Receivables – Other Amounts Owed by Tenants

	Current (1-30 Days)	Over 30 Days	Over 60 Days	Over 90 Days
Include late charges, maintenance charges, security deposits owed, pet deposits owed, legal fees, excess utility charges				

17. Delinquencies – Repayment Agreements

Repayment Agreements	
Total number of households	4
Amount	$1,290
Number under up-to-date repayment agreements	4
Amount under up-to-date repayment agreements	$875
Number under legal (other than repayment agreements)	0
Amount under legal (other than repayment agreements)	0
Amount not under repayment agreements or legal	0

18. Aged Payables Summary Report

	Current (1-30 Days)	Over 30 Days	Over 60 Days	Over 90 Days
Totals:				

19. Security Report

List number of security incidents at project by category. Property manager should attempt to obtain police incident reports where available. If possible, on a quarterly basis compare total project incidents with crime statistics in the community at large. Continue on a separate sheet if necessary.

Type	Vandalism	B&E	Assault	Aggravated Assault	Robbery	Drug Related	Other	Total
Number of Incidents	1	0	0	0	0	0	0	1

PHA Monthly Project Report
AMP 1 – Juniper Gardens
August

20. Fair Housing (Reasonable Accommodation Requests, FHEO Issues)

List all requests for reasonable accommodation, complaints about possible discrimination, and other FHEO issued received, pending, or finalized this month.

Unit	Request	Date Requested	Status
114	Request for live-in aide	8/5	Approved. Background check of live-in aide pending.
89	Request for transfer to balcony unit	7/1	Denied 8/14. No documentation provided that need for balcony unit is related to disability.

Exhibit 7-1: Example of Project and Portfolio Trend Analysis Reports

Project Performance – Current Fiscal Year YTD						
	Juniper Gardens	The Elms	Garden Glen	Daybreak	The Grove	TOTAL
PASS						
FASS	25	24	20	23	24	**23**
MASS	25	25	18	24	24	**24**
Occupancy	98%	97.9%	94.8%	97.1%	97.2%	**97.2**
Turnaround Time [1]	12 days	8 days	24 days	12 days	13 days	**15 days**
Rent Collection Rate	98%	98.2%	94.6%	96.8%	97.9%	**97.3**
Emergency WOs [2]	100%	100%	100%	100%	100%	**100%**
Nonemergency WOs [3]	4 days	6 days	28 days	18 days	16 days	**15 days**
Recertifications [4]	98%	98%	94%	96%	97%	**97%**

Portfolio Analysis – Current Fiscal Year													
	Jan	Feb	Mar	Apr	May	June	July	Aug	Sep	Oct	Nov	Dec	TOTAL YTD
FASS													
MASS													
CAP FUND													
Occupancy	96%	96.4%	94.8%	96.3%	97.2%	98.1%	97.8%	98.1%	97.9%	97.4			**97.2**
Turnaround Time [1]	20	24	46	19	15	12	20	18	12	13			**21 days**
Rent Collection Rate	94%	94.8%	95.6%	97.8%	98.2%	98.1%	98.2%	97.9%	98.3%	98.2%.			**97.3%**
Emergency WOs [2]	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%			**100%**
Nonemergency WOs [3]	24	22	25	18	16	14	12	14	12	10			**15 days**
Recertifications [4]	95%	96%	96%	96%	97%	96%	98%	97%	97%	96%			**97%**

Portfolio Trend Analysis				
	FY 2017	**FY 2018**	**FY 2019**	**FY 2020 YTD**
Overall PHAS Score	68	73	84	**≈91**
PASS	25	26	31	
FASS	18	19	21	**23**
MASS	15	18	22	**24**
CAP FUND	10	10	10	**10**
Occupancy	96.4%	94.8%	96.3%	**97.2%**
Turnaround Time [1]	24 days	46 days	19 days	**15 days**
Rent Collection Rate	94.8%	95.6%	96.8%	**97.3%**
Emergency Work Orders [2]	100%	100%	100%	**100%**
Nonemergency Work Orders [3]	29 days	22 days	18 days	**15 days**
Recertifications [4]	96%	96%	96%	**97%**

1 Average number of days between move-out and new lease-up. If turnaround time > 15 days, chart will indicate down time, make-ready time, and lease-up time

2 Percentage of emergency work orders completed or abated within 24 hours

3 Average number of days to complete nonemergency work orders

4 Percentage completed by effective date

Notes

CHAPTER 8 Managing Nondiscrimination

Learning Outcomes

Recognize relevant laws and regulations to avoid discriminatory actions and minimize liability.

Describe the housing agency's requirements to affirmatively further fair housing.

Explain the necessary steps and thought process in considering requests for reasonable accommodation.

Apply critical thinking skills to issues of reasonable accommodation.

Overview

As a manager it is essential that you understand both the letter and the spirit of the laws and regulations regarding nondiscrimination in employment and housing. It is equally important that you understand how these are applied in everyday practice.

This chapter will introduce you to critical fair employment and fair housing requirements, which will give you the foundation you need to monitor policies, procedures, practices, and forms while coaching and mentoring your staff on these fundamental rights.

This isn't an all-inclusive or legal document; the purpose is to help you understand the principles so you can do your job right and avoid liability to your agency.

SECTION 1 WHAT DOES DISCRIMINATION MEAN IN FAIR EMPLOYMENT PRACTICES?

It is important to first understand employment discrimination in general terms. The laws for Fair Employment Practices make it illegal to:

- Provide different treatment, exclude from access, or fail to provide an equal opportunity to persons because of race, color, religion, national origin, sex, familial status, or disability.

These prohibitions apply to all aspects of employment including outreach, applications, screening, hiring, training, performance management, promotion, termination, benefits, and compensation.

Overview of Employee/Employment Laws

There are many federal laws, executive orders, state laws, and local ordinances that make it illegal to discriminate in employment as well as govern other aspects of the selection and treatment of individuals in the workplace. Most notable are federal laws established by the Civil Rights Act of 1964, designed to ensure equal employment opportunity.

We won't go over each of these laws, and this isn't an exhaustive list. Your state may have additional protections under civil rights and fair housing.

Civil Rights Acts

Child Labor Laws

Cover protections and restrictions for hiring and paying under age workers.

Executive Order 8802 (Fair Employment Act) 1941

Executive Order 8802 prohibits racial discrimination in the national defense industry. It is the first federal law to promote equal opportunity and prohibit employment discrimination in the United States

Civil Rights Act of 1964

The Civil Rights Act of 1964 was a landmark piece of legislation in the United States that outlawed racial segregation in schools, public places, and employment. The bill was amended prior to passage to protect women, and explicitly included white people for the first time. It prohibited discrimination in public facilities, in government, and in employment. It became illegal to compel segregation of the races in schools, housing, or hiring.

Age Discrimination in Employment Act 1967

The Age Discrimination in Employment Act prohibits employment discrimination against persons 40 years of age or older in the United States. The law also sets standards for pensions and benefits provided by employers and requires that information about the needs of older workers be provided to the general public.

Age Discrimination Act of 1975

The Age Discrimination Act of 1975 is a law which prohibits discrimination based on age in programs or activities that receive federal financial assistance, for instance, financial assistance to schools and colleges, provided by U.S. Department of Education.

Executive Orders 11478 (1969), 12106 (1978), 13087 (1998), and 13152 (2000)

These Executive Orders prohibit discrimination in the federal civilian workforce by adding more protected classes such as sexual orientation and parental status. As amended these Executive Orders read:

- “It is the policy of the Government of the United States to provide equal opportunity in Federal employment for all persons, to prohibit discrimination in employment because of race, color, religion, sex, national origin, handicap, age, sexual orientation, or status as a parent […]. This policy of equal opportunity applies to […] every aspect of personnel policy and practice in the employment, development, advancement, and treatment of civilian employees of the Federal Government, to the extent permitted by law.”

American with Disabilities Act (ADA) 1990

The ADA is a wide-ranging civil rights law that prohibits, under certain circumstances, discrimination based on disability. It affords similar protections against discrimination to Americans with disabilities as the Civil Rights Act of 1964. The ADA states that a covered entity shall not discriminate against a qualified individual with a disability in job application procedures, hiring, advancement and discharge of employees, workers' compensation, job training, and other terms, conditions, and privileges of employment. Covered entity is generally an employer engaged in interstate commerce and having 15 or more workers.

Civil Rights Act of 1991

The Civil Rights Act of 1991 passed in response to a series of United States Supreme Court decisions which limited the rights of employees who had sued their employers for discrimination. The 1991 Act over-rode these decisions and modified some of the basic rights provided by federal law in employment discrimination cases. It provided for the right to trial by jury on discrimination claims and introduced the possibility of emotional distress damages, while limiting the amount that a jury could award.

Finally, the Equal Employment Opportunity (EEO) Commission has guidelines intended to provide equal opportunities without regard to race, religion, origin, sex, age, family status, or disability. These EEO guidelines establish requirements for affirmative action specifying that employers must take proactive measures to ensure equal opportunity to certain protected groups.

Major Employee Laws

Other laws are designed to ensure fair pay standards and benefits, fair treatment of employees providing military service, safety in the workplace, and access to particular groups. The following is a brief description of many of the major employment-related laws.

Wages and Compensation

Fair Labor Standards Act (FLSA) 1938

The Fair Labor Standards Act, also called the "Wages and Hours Bill", established a national minimum wage, guaranteed time and a half for overtime in certain jobs, and prohibited most employment of minors in "oppressive child labor," a term defined in the statute.

The Wages and Hours Bill, is federal law that applies to employees engaged in interstate commerce or employed by an enterprise engaged in commerce or in the production of goods for commerce, unless the employer can claim an exemption from coverage.

Benefits

Employee Retirement Income Security Act (ERISA)

ERISA was enacted to protect the interests of employee benefit plan participants and their beneficiaries by requiring the disclosure to them of financial and other information concerning the plan; by establishing standards of conduct for plan fiduciaries; and by providing for appropriate remedies and access to the federal courts.

ERISA is sometimes used to refer to the full body of laws regulating employee benefit plans, which are found mainly in the Internal Revenue Code and ERISA itself.

Federal Employee Compensation Act (FECA)

The Federal Employees' Compensation Act provides compensation benefits to Federal employees for work-related injuries or illnesses and to their surviving dependents if a work-related injury or illness results in the employee's death. The Department of Labor, Office of Workers' Compensation Programs district offices handle the claims and pay benefits, and the costs of those benefits are charged back to the employing agency.

Family and Medical Leave Act (FMLA) 1993

The Family and Medical Leave Act allows an employee to take job-protected unpaid leave due to a serious health condition that makes the employee unable to perform his or her job, to care for a sick family member, or to care for a new child (including by birth, adoption or foster care).

Pregnancy Discrimination Act 1978

The Pregnancy Discrimination Act (PDA), an amendment to Title VII of the Civil Rights Act of 1964, it prohibits workplace discrimination on the basis of pregnancy. The PDA prohibits discrimination against pregnant women in all areas of employment, including hiring, firing, seniority rights, job security, and receipt of fringe benefits. Employers who offer health insurance and temporary disability plans must give coverage to women for pregnancy, childbirth, and related conditions.

Health Insurance Portability and Accountability Act (HIPAA) 1996

The Health Insurance Portability and Accountability Act protects health insurance coverage for workers and their families when they change or lose their jobs; requires national standards for electronic health care transactions; and helps to keep health care information private. The standards are meant to improve the efficiency and effectiveness of the nation's health care system by encouraging the widespread use of electronic data interchange in the U.S. health care system.

Unemployment Compensation

The Department of Labor's Unemployment Insurance (UI) programs provide unemployment benefits to eligible workers who become unemployed through no fault of their own, and meet certain other eligibility requirements. These workers may include Disaster Unemployment Assistance for employment or self-employment lost or interrupted as a direct result of a major disaster declared by the President of the United States; Federal Employees Assistance for eligible unemployed former civilian federal employees; Unemployment Compensation for Ex-Service members for eligible ex-military personnel; and Extended Benefits to workers who have exhausted regular unemployment insurance benefits during periods of high unemployment.

Uniformed Services Employment and Reemployment Rights Act (USERRA)

USERRA protects civilian job rights and benefits for veterans, members of reserve components, and even individuals activated by the President of the United States to provide Federal Response for National Emergencies. USERRA establishes the cumulative length of time that an individual may be absent from work for military duty; establishes that reemployment protection does not depend on the timing, frequency, duration, or nature of an individual's service as long as the basic eligibility criteria are met; and provides protection for disabled veterans by requiring employers to make reasonable efforts to accommodate the disability. Service members convalescing from injuries received during service or training may have up to two years from the date of completion of service to return to their jobs or apply for reemployment.

Workplace Safety

Occupational Safety and Health Administration Act (OSHA) 1971

The Occupational Safety and Health Act was created to provide U.S. workers with a safe working environment. OSHA requires employers to: allow OSHA inspections without notice; provide workers with information on OSHA's protection, hazardous substances, and first aid procedures; provide training on how to treat injuries from hazardous materials and how to deal with fires and other emergencies; and provide protection against blood borne pathogens in the workplace.

OSHA requires that employers not take action against employees who file complaints alleging OSHA violations. OSHA is administered through the Department of Labor, but many states have their own OSHA laws.

Access

Immigration and Nationality Act (INA) 1965

The Immigration and Nationality Act of 1965 abolished the national-origin quotas that had been in place in the United States since the Immigration Act of 1924 and thus, details the requirements for legally hiring citizens and authorized aliens.

Executive Order 13166

Executive Order 13166 “Improving Access to Services for Persons with Limited English Proficiency” requires federal agencies to examine the services they provide, identify any need for services to those with limited English proficiency (LEP), and develop and implement a system to provide those services so LEP persons can have meaningful access to them. It is expected that agency plans will provide for such meaningful access consistent with, and without unduly burdening, the fundamental mission of the agency. The Executive Order also requires that the Federal agencies work to ensure that recipients of Federal financial assistance provide meaningful access to their LEP applicants and beneficiaries.

SECTION 2 WHAT DOES DISCRIMINATION MEAN IN THE FAIR HOUSING CONTEXT?

To start out this section, it is important to first understand discrimination in general terms. Discrimination under federal fair housing laws means:

- Any difference in treatment, exclusion of, or failure to offer a person an equal opportunity in housing because of race, color, religion, national origin, sex, familial status or disability.

As a manager, it’s essential that you understand both the letter and spirit of the laws, regulations, and how they are actually applied in everyday practical terms. Only then can you monitor policies, forms, and practices, and mentor your staff.

Working with Legal Aid and Other Advocacy Groups

Every program needs checks and balances for the health and integrity of its programs and policies. Advocacy groups are one of those checks - to keep us from going too far in any one direction. You, as a supervisor, will benefit from working proactively with local advocacy groups.

Not every contact with an advocacy group must be adversarial. It may reveal a problem you had previously overlooked or give you a new perspective on an issue. Helping advocacy groups understand the intricacies of the HUD regulations for which your PHA is obligated may give the advocacy group a better appreciation of the work you do.

Also, by developing long-term rapport with the key personnel of these organizations, you lay a foundation of trust and accountability with the community. As issues arise, your preexisting relationship can calm the intensity of the moment and lead to a quick resolution.

SECTION 3 FAIR HOUSING REQUIREMENTS

Discrimination under federal fair housing laws means any difference in treatment, exclusion of, or failure to offer a person an equal opportunity in housing because of race, color, religion, national origin, sex, familial status or disability. Below is a list of the laws and a HUD regulation.

Civil Rights Act of 1964 (TITLE VI) and Title VIII of the Civil Rights Act of 1968 - Fair Housing Act (FHA)

The Fair Housing Act covers most housing. In some circumstances, the law exempts owner-occupied buildings with no more than four units, single-family housing sold or rented without the use of a broker, and housing operated by organizations and private clubs that limit occupancy to members.

Title II of Americans with Disabilities Act (ADA)

Signed into law in 1990, the ADA is the most comprehensive civil rights law for people with disabilities. The ADA extended Section 504's nondiscrimination policy to the activities of all public entities regardless of whether the public entity receives federal dollars.

Section 504 of the Rehabilitation Act of 1973

This law only applies to recipients of federal dollars. Therefore, Section 504 applies to PHAs but not private housing choice voucher landlords.

- On projects above a certain monetary threshold, the PHA must make its best efforts to train and hire a portion of Section 3 workers or targeted Section 3 workers
- A Section 3 worker could be a person whose income for the previous calendar year is under the HUD-established income limit, a person who is employed by a Section 3 business concern, or a YouthBuild participant. A targeted Section 3 worker could be a worker employed by a Section 3 business concern, a public housing or Section 8 resident, a resident of other public housing projects or Section 8-assisted housing managed by the PHA providing the assistance, or a YouthBuild participant.
- HUD establishes benchmarks specifying the ratios of the number of labor hours worked required for Section 3 workers and targeted Section 3 workers, respectively.

Definition of Reasonable Accommodation

24 CFR 100.204

A change, exception, or adjustment to a rule, policy, practice, or service may be necessary for a person with a disability to have an equal opportunity to participate in the program and to use and enjoy a dwelling, including public and common use spaces.

Since rules, policies, practices, and services may have a different effect on persons with disabilities than on other persons, treating persons with disabilities exactly the same as others will sometimes deny them an equal opportunity to participate in a program or to use and enjoy a dwelling.

To show that a requested accommodation may be necessary, there must be an identifiable relationship (or "nexus") between the requested accommodation and the limitation or barrier posed by the individual's disability.

Different ways to describe reasonable accommodation include:

- Any change in the way things are customarily done that enables an individual with a disability to enjoy equal employment or housing opportunities
- Any change or adjustment to a job or housing environment that permits a qualified applicant, participant/tenant or employee with a disability to fully participate in the housing or application process, to meet tenancy requirements, or to enjoy the benefits and privileges of housing equal to those enjoyed by employees, applicants, participants or tenants without disabilities.
- A change allowed by management to how the terms and conditions of an individual's participation in the program or tenancy are met, in consideration of a known disability, unless this would create an undue hardship and administrative burden on the agency.

Fair Housing Protections for Handicap/Disability

24 CFR 100.201 and 24 CFR 8.3

A person with a handicap ("handicap" is the word written into the older laws) or disability is anyone who:

- Has a physical or mental impairment which substantially limits one or more of such persons' major life activities
- Has a record or having such an impairment
- Is regarded as having such an impairment

Definitions of the Term "Disability"

PHA staff and hearing officers must understand two different definitions of "disabled."

HUD DEFINITION OF A PERSON WITH A DISABILITY

24 CFR 5.403

In specific instances HUD uses a "strict" or "narrow" definition of who qualifies as a person with a disability. The HUD definition for "disabled" is used for eligibility determination, income, and rent calculation allowances. The applicant or participant/tenant must provide third-party documentation that he or she meets of three qualifying definitions under the HUD definition of disabled:

- The person meets the Social Security Administration definition of a person with disabilities as defined in 42 U.S.C. 423
- The person has a physical, mental or emotional impairment that:
  - Is expected to be of long-continued and indefinite duration
  - Substantially impedes their ability to live independently
  - Is of such a nature that the ability to live independently could be improved by more suitable housing conditions
- The person has a developmental disability as defined in the Developmental Disabilities Assistance and Bill of Rights Act of 2000.

Definition of a person with a disability for purposes of reasonable accommodation

24 CFR 100.201

The definition of a person with a disability for purposes of granting a reasonable accommodation request is much broader than the HUD/Social Security definition. This broader definition is to ensure that limitations posed by disabilities do not create a barrier to housing programs.

As mentioned previously, under this broader definition, the person must have a physical, mental or emotional impairment that substantially limits one or more of the person's major life activities. The impairment can include practically any condition, disease, illness, disfigurement or disorder, as long as the impairment substantially limits one or more major life activities.

- Major life activities include, but are not limited to: Caring for oneself, walking, seeing, hearing, breathing, learning, working, concentrating, thinking.

The Reasonable Accommodation Process

PIH Notice 2010-26, 24 CFR 966.7

First, the PHA has an obligation to inform applicants and assisted families of the right for any person with disabilities to request a reasonable accommodation. The PHA should review forms, letters, posters and signs for inclusion of this information. Such a statement should be on applications for assistance, annual reexamination paperwork, warning or termination letters, and posted in PHA offices in an obvious and well-marked place.

Qualifying as a person eligible to request an accommodation is the first step in the reasonable accommodation process. It is the establishment of the person's right to make a request of the program (including the appeal/hearing process).

- When a reasonable accommodation is requested, the disability needs to meet the Fair Housing Act/ADA/504 definition.
- HUD/DOJ Memo 2004
- The PHA *may not* inquire into the nature or extent of a disability.
- HUD/DOJ Memo 2004
- If the disability is obvious or otherwise known, the PHA may not verify the disability.

However, the person must also show that they are limited by the program due to their disability, and that the requested accommodation will remove that limitation so that they can completely fulfill the program's requirements (including participating in the appeal or hearing). To say it another way, there must be a barrier to housing presented by the person's disability that causes this person, without removal of the barrier, not to have equal access to programming.

- PHA staff does not decide whether there is a "nexus" between the disability and the requested accommodation. This burden is placed on "knowledgeable professionals" as defined in PHA policy unless the requestor presents an obvious disability and obvious barrier in which case the PHA makes the accommodation without any need for further inquiry.

> "If you or anyone in your family is a person with disabilities, and you require a specific accommodation in order to fully utilize our programs and services, please contact (name and phone number)."

> "If you are a person with a disability who may need a special accommodation in order to participate in the hearing, please contact [hearing coordinator, with telephone number] no later than [date (a date in advance of the first proceeding)] to make any necessary arrangements."

An applicant/participant/tenant's request *triggers* the PHA's consideration of the need for an accommodation.

- The reasonable accommodation process may include fluid negotiations on a case-by-case basis. What is reasonable in one situation may not be reasonable in another. The PHA may not be able to exactly meet the specific request, but may offer alternative options.
- The essential intent of federal antidiscrimination laws is that each case should be treated on its individual merits.

Here is the process:

1. Was an accommodation requested?
2. Is this a person with disabilities?
3. Is there a nexus between the disability and the specific request?
4. Is the request reasonable?

Consideration of Request

A PHA can deny a request for reasonable accommodation if:

- The request was not made by or on behalf of a person with a disability
- There is no disability-related need (nexus) for the accommodation
- The barrier to housing exists because of the person's disability. The "nexus" is the relationship between the disability-posed limitation and the barrier to housing
- The accommodation will result in an undue financial and administrative burden for the PHA.

  Notice PIH 2010-26

  - Whether an undue financial and administrative burden results is determined on a case-by-case basis reviewing factors such as the overall size of the PHA's program with respect to the number of employees, type of facilities, and size of budget; the type of operation, including the composition and structure of workforce, the nature and cost of the requested accommodation, and the availability of alternative accommodations.
- The accommodation would fundamentally alter the nature of the PHA's operations.
  - For example, require the PHA to waive an essential family obligation under the lease or voucher, or require the PHA to do something it is not in the business of doing.
  - Even with an accommodation, there is a direct threat to the health or safety of other individuals, or threat of substantial physical damage to the property of others.

If Request is Not Reasonable, Obligation to Explore Alternatives

If the PHA finds that the request is not reasonable, the Fair Housing Act requires the PHA to explore alternatives, which may include conversations, or fluid negotiations on a case-by-case basis.

If there is a reasonable alternative that meets the individual's disability-related need, the PHA must grant it.

Limited English Proficient Persons

On March 1, 2025, Executive Order 14224 declared English as the official language of the United States and revoked Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency (LEP), issued in 2000.

90 FR 15722

In response to EO 14224, the U.S. Department of Justice (DOJ) rescinded on March 21, 2025, its *Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons*, 67 FR 41455 (June 18, 2002) ("2002 DOJ LEP Guidance").

However, despite this rescission, the DOJ states in the Federal Register comments that:

> "All recipients of Department financial assistance have a continuing obligation to comply with Title VI, all applicable Title VI implementing regulations, all applicable federal civil rights laws and nondiscrimination provisions. Recipients of federal financial assistance also have a continuing obligation under the Rehabilitation Act of 1973 to ensure that their communications with individuals with disabilities are as effective as communications with others and may need to provide qualified sign language interpreters for individuals who are deaf. **Recipients of federal financial assistance, including subrecipients, are reminded that the denial of language assistance services can be evidence of discrimination on the basis of national origin or disability under certain circumstances.** The Department will be issuing updated guidance, consistent with law, as required by EO 14224."

In response to EO 14224, the Office of the Attorney General (OAG) issued an Implementation of EO 14224 Memo on July 14, 2025. The OAG LEP Guidance Memo announced the suspension of operation of LEP.gov and all other public-facing materials related to language access for LEP persons. In the past, HUD offered multilingual resources in more than 200 languages and maintained a language assistance hotline to serve individuals with limited English proficiency.

OAG stated it would issue new guidance for public comment. That guidance has not yet been published.

In the interim, OAG again confirmed that agencies are not required to amend, remove, or otherwise stop production of multilingual documents, products, or other services.

OAG recommended that agencies use technology, such as artificial intelligence and machine translation, to save costs.

The Violence Against Women Act (VAWA)

VAWA amends the 1937 Housing Act. Title VI of VAWA affects the public housing and tenant-based and project-based Section 8 programs by placing safeguards in the admissions and termination process, including provisions and procedures for certification, confidentiality and notification.

Executive Order 14168

On January 20, 2025, President Trump issued Executive Order 14168, Defending Women From Gender Ideology Extremism and Restoring Biological Truth to the Federal Government. The Executive Order specifically withdraws EO 13988, Preventing and Combating Discrimination on the Basis of Gender Identity or Sexual Orientation (1/25/21).

On February 7, 2025, HUD Secretary Turner issued an order halting any pending or future enforcement actions related to HUD's 2016 Equal Access Rule.

State and local laws may provide gender identity protections.

Limited English Proficient Persons

Per HUD's Interim Final Rule effective April 2, 2025, HUD requires a statement of general commitment in the PHA Plan that the PHA will take steps to administer the program in conformity with all the fair housing laws, and that the PHA will affirmatively further fair housing. Such certification will be deemed sufficient provided the PHA can demonstrate that it took any action during the relevant period rationally related to promoting fair housing, such as helping eliminate housing discrimination.

HUD revised relevant definitions as follows:

24 CFR § 5.150 Affirmatively Furthering Fair Housing: Definitions.

a. The phrase "fair housing" means housing that, among other attributes, is affordable, safe, decent, free of unlawful discrimination, and accessible as required under civil rights laws.

b. The phrase "affirmatively further" means to take any action rationally related to promoting any attribute or attributes of fair housing as defined in the preceding subsection.

Other State and Local Fair Housing Laws

In addition to the classes protected under federal law, PHAs must be aware of protections that may be provided by state or local ordinance.

- Many localities and some states, for example, prohibit discrimination on the basis of sexual orientation gender identity or marital status.

HUD's Nondiscrimination/Fair Housing Compliance Requirement

HUD also has a general nondiscrimination requirement. Every PHA has an affirmative duty to comply with federal fair housing laws.

- *Affirmative duty* means that PHAs must be vigilant and proactive.

Summary

While it can seem like there is a whirlwind of fair housing laws to keep straight, the most important part of fair housing law is not to be able to name the laws, but to be able to understand the spirit of these laws so that you put them into practice every day in the policies, procedures and relationships with applicants and assisted families.

Requirement to Keep Information Confidential

Under federal and state privacy laws, a PHA is required to keep confidential any personal information about an applicant or tenant obtained in a confidential manner or from a confidential source.

An applicant or tenant may sign a consent form to allow the PHA to disclose information in their file. Staff should not talk to anyone about a particular individual's medical status or disability without authorization for such discussion in writing from the individual.

- If your PHA has a confidentiality policy based on a "need to know" approach, be sure that staff is clear as to what this really means in day-to-day work.

Section 504 Coordinator Duties

If a housing authority employs fifteen or more people, it must have a designated employee to coordinate compliance with Section 504. [1]Section 504 regulations also require that the PHA adopt grievance procedures that incorporate due process standards to provide for resolution of complaints.

Depending on the size of the PHA, the 504 coordinator may have other roles at the PHA. For example, in a small PHA, the executive director may be designated as the 504 coordinator. As a manager or supervisor in a small to medium PHA, you may be given the role of 504 coordinator in addition to your other duties. Whether a full- or part-time role, the 504 coordinator will be responsible for reviewing reasonable accommodation and modification requests by AHA employment applicants, employees, housing applicants, and tenants.

1. 24 CFR 8.53

Essential Duties of the 504 Coordinator

Notification

The 504 coordinator must ensure that notification procedures are defined and implemented:

- Applicants for employment, employees, applicants for housing, and tenants who identify themselves as individuals with disabilities may be entitled to reasonable accommodations.
    1. *Applicants for employment* – The PHA shall conduct job interviews in wheelchair accessible locations. Applicants will be notified of the availability of reasonable accommodations when an interview is being scheduled.
    2. *Employees* – All employees of the PHA shall be given a copy of the reasonable accommodation policy.
    3. *Applicants* – All application forms for housing used by the PHA shall contain language which states that accommodations for persons with disabilities may be requested.
    4. *Tenants* – All PHA tenants are notified that accommodations and/or modifications for persons with disabilities may be requested. Tenant handbooks include this language as well.

Confidentiality

All requests for modifications and/or accommodations and related information must be kept confidential.

Modification Review

The PHA should define which requests the 504 coordinator should review. It may be that the PHA decides that the 504 coordinator reviews:

- All requests
- Requests for which additional information is requested
- A request which requires a meeting with the person requesting
- Any request which is not considered reasonable by the property manager, and for which reasonable alternatives will be explored
- Any denial of a request for an accommodation

The PHA needs to establish:

- Timelines in which the PHA will respond, after receipt of the request
- Forms adequate to establish a reasonable accommodation process and to document good-faith consideration of PHA to the individual request
- Written notices of the PHA's decision

Monitoring

The PHA should define the 504 coordinator's role in:

- Developing protocol for receiving requests for and responding to complaints, requests for reasonable accommodation, appeals, and hearings;
- Tracking and monitoring requests for reasonable accommodation;
- Record-keeping for all requests for reasonable accommodation, complaints, appeals, and grievance procedures conducted at the AMPs;
- Dissemination and implementation of new regulations and guidance; and
- Regular training of staff.

The 504 coordinator may be assigned to assist in the admissions function, the property manager decision-making function, and other PHA functions in reviewing reasonable accommodation requests. The position may be required to make recommendation to resolve a variety of problems.

The PHA needs to be very specific about who receives a request for a reasonable accommodation, who makes the decision to approve or deny, who offers alternative solutions in the case of denial, the process of appeal and grievance, and who makes the final decision if the request is determined to be unreasonable (undue financial and administrative burden, a threat that cannot be mitigated or resolved by the reasonable accommodation, or a fundamental alteration of the program).

The PHA should post a copy of its' reasonable accommodation policies and procedures in the central office and in each AMP office.

Information should include:

- Name of 504/ADA coordinator
- Address
- Telephone number
- Dedicated toll-free telephone number
- TDD/TTY number – or state relay service number
- FAX number

Enforcement

The 504 coordinator should be given adequate authority to ensure and enforce the PHA's commitment for fair housing and reasonable accommodation.

SECTION 4 HEALTH AND SAFETY IN THE WORKPLACE

Direct Threats

All staff should feel safe in the workplace. As a supervisor part of your job will be to enforce health and safety standards. A threat to that health and safety could be a tenant, participant, applicant, or other staff member who poses a direct threat.

- The Fair Housing Act does not protect an individual with a disability whose tenancy would constitute a "direct threat" to the health or safety or other individuals or result in substantial physical damage to the property of others unless the threat can be eliminated or significantly reduced by reasonable accommodation. [24 CFR 100.202] However, under the law, PHAs cannot exclude individuals from assistance or terminate assistance based upon fear, speculation, or stereotype about a particular disability or persons with disabilities. A determination that an individual poses a direct threat must rely on an individualized assessment that is based on objective evidence [DOJ/HUD Joint Memo May 2004].
- The assessment should consider:
  - The nature, duration, and severity of the risk of injury
  - The probability that injury will actually occur
  - Whether there are any reasonable accommodations that will eliminate the threat
- The PHA should take into account whether the individual has received intervening treatment or medication that has eliminated the direct threat. In such a situation, the provider may request documentation of how the circumstances have changed so that the participant or tenant no longer poses a direct threat.
- A PHA must seek out objective evidence that a person with a disability poses a direct threat.

It is important to find a way to balance the health and safety of staff, residents and participants while also protecting the rights of persons with disabilities. This can be a challenge to supervisors.

SECTION 5 SEXUAL AND OTHER HARASSMENT

HUD Final Rule on Harassment and Liability for Discriminatory Practices

HUD published a final rule in the *Federal Register*[1] on September 14, 2016, amending regulations in 24 CFR Part 100, effective October 14, 2016, to formalize standards for use in investigations and judicial proceedings involving allegations of harassment on the basis of race, color, religion, national origin, sex, familial status, or disability.

This rule clarifies that harassment can be not only a form of discrimination based on sex, but also can be discrimination based on other protected classes under the Fair Housing Act, and that the same discriminatory conduct could violate more than one provision of the Act.

The rule creates a new Subpart H of 24 CFR Part 100 to define the two types of harassment—quid pro quo and hostile environment—as well as other related concepts.

Two Types of Harassment Claims

Quid Pro Quo[2] (something for something) harassment is an unwelcome request or demand to engage in conduct where submission to the request or demand, either explicitly or implicitly, is made a condition related to housing activities such as the sale, rental, or availability of a dwelling, or the provision of housing-related services or facilities. An unwelcome request or demand may constitute quid pro quo harassment even if a person accepts without protest the unwelcome request or demand.

Hostile Environment harassment[3] is unwelcome conduct that is sufficiently severe or pervasive as to interfere with housing activities such as the sale, rental, or availability of a dwelling, or the provision or enjoyment of housing-related services or facilities. Hostile environment harassment does not require a change in the economic benefits, terms, or conditions of the housing-related activities.

- Whether hostile environment harassment exists depends upon the totality of the circumstances.
- Factors to be considered include, but are not limited to, the nature of the conduct and the context.

1. *FR Notice* 9/14/16
2. 24 CFR 100.600(a)(1)
3. 24 CFR 100.600(a)(2)

HUD has clarified that sexual harassment can include same-sex harassment, and harassment based on gender identity or sexual orientation.

The Final Rule and Direct Liability

The final rule provides that a person is directly liable for failing to take prompt action to correct and end a discriminatory housing practice (including by a third party), where the person *knew or should have known* of the discriminatory conduct and had the power to correct it.

The final rule also prohibits retaliation against anyone because they reported a discriminatory housing practice to a housing provider or other authority.

State Law

Most states have their own sexual harassment laws, as do most employers. Some states require some employers to have annual or bi-annual training on sexual harassment for their managers or company supervisors. State, company, or employment law sexual harassment laws may be broader and provide more protection than federal housing law. Know your local laws.

PHAs Should Protect Themselves – and Their Employees, Applicants, Participants and Residents

To protect your PHA and customers, ask yourself the following questions:

- What is your sexual and other forms of harassment policy and claim process for employees?
- What is the sexual and other forms of harassment claim process for participants?
- Is there an investigative process?
- If participant and resident families report harassment, encourage them to report and document (time, date, location, what happened, what was said, witnesses) and get assistance from a fair housing agency.

What You Can Do

Your agency has policies and procedures dealing with sexual and other forms of harassment, and may hold trainings for employees on this topic. As mentioned, training is often available and/or required in some states.

Sexual and other harassment is not a "don't ask don't tell" responsibility for the supervisor. It is your job to ensure that no one is harassed, and to address the situation if you become aware of harassment.

Your attitude sets the tone. If you have a no-nonsense attitude about expecting everyone to be treated with respect and dignity, workers will take care in what they say and do.

- If an issue comes up in your team and you're not sure if it's an issue of sexual or other form of harassment, seek out your boss and HR. Make sure you follow up, if necessary. Seeking expert advice and following up will prevent someone from later claiming, "I didn't know I wasn't supposed to do that."

Make Sure You:
Let your employees know that harassment, in any form, won't be tolerated.
Remind your employees that what one person finds acceptable, another may find objectionable.
Suggest they practice a policy of "when in doubt, don't do it." Tell everyone you want to hear about anything said or done which bothers them. If your workers know they can confide in you, it will be easier to nip these problems in the bud.
When anyone brings a complaint, act on it promptly by first notifying your boss and HR.
Let employees know they can direct harassment complaints directly to someone in HR, or your boss. They don't have to come to you first, or at all.

Chapter 8 - My Career Map

List here what you learned in this chapter about your responsibilities for nondiscrimination in your agency We return to this information again and again as you move through this course.

Who and Where I Am	NOW	Who and What I Want to Be	What I Will Do	Date
My Understanding of Employee Nondiscrimination Requirements:				
My Responsibilities Regarding Reasonable Accommodation:				
My Responsibilities Regarding VAWA:				
How I Manage Confidentiality:				
How I Manage Safety in the Workplace:				
Sexual and Other Harassment:				

SECTION 6 CHAPTER 8 POST TEST

1. What are the two types of sexual and other forms of harassment in the workplace? (choose two)
   a. Violence against women
   b. Quid Pro Quo
   c. Stalking
   d. Sexual assault
   e. Hostile work environment

2. A program participant has asked for a very unusual accommodation. The disability is not obvious or otherwise known, nor is the need for the accommodation. Which of the following is the manager prohibited from verifying or inquiring about?
   a. If the participant has a disability
   b. If there is a relationship, or nexus, between the disability and what is being requested
   c. Nature and severity of the disability
   d. If the request would fundamentally alter the nature of the program
   e. If the request would pose an administrative and financial burden
   f. The manager may need to inquire about any or all of the above

3. The definition of disabilities used for purposes of reasonable accommodation is ___________ than the HUD definition of disabilities.
   a. Identical
   b. Broader
   c. Narrower
   d. The same or different, depending on PHA policies
   e. Less legal

4. A participant or tenant may not meet the HUD definition of disabilities but may still qualify for a reasonable accommodation.
   a. True
   b. False

5. All participants or tenants who meet the HUD definition of disabilities must be granted requested accommodations.
   a. True
   b. False

6. If a person voluntarily discloses a disability and requests an accommodation, the PHA may require third-party verification that the accommodation being requested would remove a barrier that is posed by the disability.
   a. True
   b. False

7. HUD's final rule on sexual and other forms of harassment includes direct liability when there is discriminatory conduct and the supervisor knew or should have known about the conduct.
   a. True
   b. False

8. A "don't ask, don't tell" philosophy is usually a supervisor's or manager's best approach when issues of harassment arise in the workplace.
   a. True
   b. False

9. If the PHA receives federal funding and employs 15 people or more, there must be an employee designated to:
   a. Be the director of human resources and recruit, hire, and train employees
   b. Coordinate compliance with fair housing requirements
   c. Ensure that the PHA is vigilant and proactive by offering accommodations before they are requested

10. The definition of *person with disability* is the same for HUD eligibility/rent calculation and for reasonable accommodation requests.
    a. True
    b. False

11. The PHA and the supervisor must take reasonable steps to promote safety in the workplace.
    a. True
    b. False

12. An employee has the right to report an incidence of sexual or other harassment only by going to his or her immediate supervisor.
    a. True
    b. False

13. If the PHA determines that a request for an accommodation is not reasonable, the PHA ____________enter into a conversation or negotiation with the requester to explore any reasonable alternative
    a. May not
    b. May
    c. May or may not, upon PHA discretion
    d. Must

14. Regarding a request for an accommodation, a "nexus" is the relationship between the disability-posed limitation and the need for the request, or why the request is needed to remove or mitigate the barrier to housing.
    a. True
    b. False

15. The PHA that receives federal funding must designate a 504 coordinator if it employs how many employees or more?
    a. 50 employees
    b. Any number of employees
    c. Up to PHA policy
    d. 15 employees
    e. There is no regulation or guidance on this issue

CHAPTER 9 Ethics

Learning Outcomes

Define ethics and describe how business ethics are applied in the workplace.

Recognize the common ethical challenges in the workplace and how to think through them.

Identify the concept of conflict of interest, including perceived conflict of interest.

Evaluate ethical guidelines and establish preventive internal controls at the housing agency.

> *"Always do right – this will gratify some and astonish the rest."*
>
> - Mark Twain

Overview

We'll end this seminar with ethics and leadership. You'll see the big-picture principles applied to some aspects of what you see and do every day at work. And we'll conclude with a section on your continuing growth as a supervisor - because this seminar is part of your continued growth.

SECTION 1 WHAT IS ETHICS?

Introduction

Ethics include the fundamental ground rules by which we live our lives. Ethics serve as a moral compass in turbulent times. Simply put, ethics involve learning what is right or wrong, and then doing the right thing.

- But "the right thing" is not always straightforward. Most ethical dilemmas in the workplace are not simply a matter of "Should Bob steal from Jack?" or "Should Linda lie to her boss?"

As public housing officials, we are stewards of the public trust. HUD views ethics violations as serious crimes. HUD's Office of General Counsel (OGC) has developed a Web site to promote professional and ethical standards.

Business Ethics

Just because your agency isn’t in trouble with the law doesn’t mean you're doing everything ethically! Business ethics is a growing discipline. It’s not a philosophy, religion, or new-age trend. Problems in business have arisen in part because corporate ethics have not been articulated and enforced consistently.

Ethics can and must be managed in a business setting. “Doing the right thing” can go out the door in times of stress and uncertainty. Consequently, business ethics can be strong preventive medicine.

Benefits of Managing Ethics in the Workplace

Attention to business ethics has improved society. A matter of decades ago, children in our country worked 16-hour days, workers were condemned to poverty, trusts controlled some markets, and small businesses choked out. Then society reacted and demanded that businesses place high value on fairness and equal rights.

Ethics programs help maintain a moral course in chaotic times. During times of fundamental change, there is often no clear moral compass to guide leaders. Continuing attention to ethics in the workplace sensitizes leaders and staff to how they want to act-consistently.

Ethics programs cultivate strong teamwork and productivity. An organization sometimes finds surprising disparity between its preferred values and the actual behaviors in the workplace. Ongoing attention and dialogue regarding values in the workplace builds openness, integrity, and community.

Attention to ethics in the workplace helps employees face reality, both good and bad, in the agency and themselves. Employees feel full confidence they can admit and deal with whatever comes their way.

Ethics programs are an insurance policy. Personnel lawsuits are increasing. Well-designed personnel policies help ensure ethical treatment of employees in matters of hiring, evaluating, disciplining, firing, etc.

Ethics programs help avoid criminal acts “of omission.” Ethics programs tend to detect ethical issues and violations early on so they can be reported or addressed. In some cases, when an organization is aware of an actual or potential violation and does not report it to the appropriate authorities, this can be considered a criminal act.

Ethics programs help manage quality control, strategic planning, and diversity management. Recording the values, developing policies and procedures, and then training all personnel, is inherent in quality control and planning. Recognizing and promoting a diverse workforce-different races, religions, national origins, ages, disabilities, etc.-is a strong ethical responsibility that leads to a smarter and richer tapestry of talent.

Finally, an organization known for its ethics promotes a strong public image. People see these organizations as valuing people more than profit, as striving to operate with the utmost of integrity and honor.

Principles of Ethics

Ethics can be both personal and professional. Again, personal ethics is like our inner moral compass. But an organization with strong ethical guidelines helps employees internalize these principles.

Principles of Personal Ethics

Ethics are personal because it all comes down to you, your conscience, and your behaviors and decisions. Ethics determine your professional duties. So, your professional duties mean maintaining appropriate professional relationships. Also, stick with actions that produce the desired outcomes. It is very important that you maintain confidentiality as appropriate. In addition, make all appropriate matters public.

The crucial principles include:

- Willing compliance with the law
- Basic justice—being fair and refusing to take unfair advantage
- Impartiality—objectivity
- Openness—full disclosure
- Confidentiality
- Due diligence—duty of care
- Fidelity to personal responsibilities
- Avoiding potential or apparent conflict of interest
- Concern for the well-being of others
- Respect for the autonomy of others
- Trustworthiness and honesty

In short, doing good and preventing harm is the essence of ethical behavior.

SECTION 2 THE ETHICAL CHALLENGES

Being ethical is challenging. The first challenge is knowing the right thing to do. People are very different, with differing ideas of right and wrong.

- Ignorance of the law is not an excuse. You must consider not only the letter, but the spirit of the law.
- Often, there is no law or rule to guide you except your own inner common sense. If something feels wrong, there's a good chance it is!

The second, and often more difficult challenge, is doing what's right. Doing the right thing is sometimes the harder thing to do. Everyone faces personal temptations. It's the big stuff that makes the news, but sometimes the "little" stuff is what shows ethics and character.

There are "three Rs" that can help you recognize the right thing to do:

- Respect: To people, resources, and the work.
- Responsibility: To clients, co-workers, your PHA, and yourself.
- Results: You need to consider how as well as what. Do the ends really justify the means? Do you want to feel good about how you got to your goal?

Additionally, day to day behaviors represent the largest arena for breach in ethics:

- Telling "little white lies"
- What you put on your timesheet
- The office supplies that end up at home
- The quality you put into what you do
- The credit you share—or don't share

The Ethical Dilemma: Managing Competing Rights

An ethical dilemma exists when there is the presence of significant value conflicts among differing interests, real alternatives that are equally justifiable, and significant consequences in the situation.

- And you are faced with having to make a choice among these alternatives!

But how do you resolve ethical dilemmas? Some of the best actions are preventive. PHAs should develop and document a procedure for dealing with ethical dilemmas as they arise. Ideally, these should be resolved by a group within the organization (e.g., an ethics committee comprised of top leaders and/or managers and/or members of the board). A best practice is to have staff members on the committee, as well. It will be important for all participants to sign and adhere to a confidentiality statement.

Consider establishing an ethical checklist to run through when you're confronted with an ethical dilemma. The ethics committee, or even your work team, can walk through some questions that will help you reach an ethical decision that your conscience can live with.

Consider the following checklist:

12 Questions to Resolve Dilemmas

- ☐ Have you defined the problem accurately?
- ☐ How would you define the problem if you stood on the other side of the fence?
- ☐ How did this situation occur in the first place?
- ☐ To whom and to what do you give your loyalty as a person and as an employee of the PHA?
- ☐ What is your intention in making this decision?
- ☐ How does this intention compare with the probable results?
- ☐ Who could your action or decision injure?
- ☐ Can you discuss the problem with the affected parties before you make your decision?
- ☐ Are you confident that your position will be as valid over a long period of time as it seems now?
- ☐ Could you disclose without qualm your decision or action to your boss, your executive director, the board, your family, and/or society as a whole?
- ☐ What is the symbolic potential of your action if understood? Misunderstood?
- ☐ Under what conditions would you allow exceptions to your stand?

Bottom Line: Everything Counts

As you make decisions, remember that it's both the little things and the big things. Everything counts.

Asking the agency, your team, and yourself some questions will help you in ethical decision-making. Here are some questions to consider.

- Does it violate housing authority policy? Know, or find out, what is stated in your public housing admissions and continued occupancy policy (ACOP), your housing choice voucher administrative plan, your PHA personnel policy, your PHA fraud and ethics policies, and other relevant documents.
- Does it violate a professional code of ethics? Does it violate my personal code of ethics?
- Are any person's, the housing authority's, or another entity's rights violated? These rights are the right to know, the right to privacy, and the right to property. Are any duties or responsibilities not met?
- Look again at an ethical decision before acting. Does it minimize actual and potential harm? Apply the principle of consistency—what if everyone did this? Does it pass the golden rule?
- Are anyone's, the PHA's, or another entity's rights abridged? Are there informal guidelines? Are there "shushers" in the situation? If you can't talk about it, it's probably not ethical. Does it pass the mom test? Does it pass the TV test?

LEARNING ACTIVITY 9-1: Handling Ethical Situations

Read the scenarios below. First, think about what ethical question or dilemma exists. Then, describe what you might do in the same situation and state why.

1. A woman came in to apply for our rent specialist position today. I gave her the job announcement and information on how to apply with us like we usually do. She had a terrific background. I knew that the Community Development Corporation, who owns and manages 400 units of multi-family housing down the street, also has an opening for rent specialist. Should I have told her about the opening?

   What is the ethical question?

   Should you have told her about the opening? Why?

2. "My housing authority and human resource department has done a lot of work to make sure our performance evaluation system works for everyone. My leasing specialist has done a terrific job for years; she's the backbone of our team. However, there are no promotional jobs for her on my team. We can't promote her here. If I give her the recognition she deserves she'll probably be promoted to another department. What should I do?"

   What is the ethical question?

   ____

   What should you do? Why?

   ____

   ____

   ____

   ____

3. "My housing authority has done so well hiring a diverse staff! I just worked with human resources to fill our opening for a lead property manager and one of the applicants has all of the qualifications. She did really well in the interview scenarios. But the representative from human resources is concerned that her limited English ability will make it too hard for residents to understand her while she's working in the development. What should I do?"

   What is the ethical question?

   ____

   What should you do? Why?

   ____

   ____

   ____

   ____

4. “My boss told me that one of my employees is among several others to be laid off soon, and that I'm not to tell my employee yet or he might tell the whole organization which would soon be in an uproar. Meanwhile, I heard from my employee that he plans to buy braces for his daughter and a new carpet for his house. What should I do?”

   What is the ethical question?

   ____

   What should you do? Why?

   ____

   ____

   ____

   ____

5. “The manager of the Information Technology department told me that they have noticed that one of my employees is using the internet for personal tasks. We don’t have a policy specifically prohibiting that but I am concerned. I spoke with the employee. She told me she was doing it on her own time to find a new car to drive to work. What should I do?”

   What is the ethical question?

   ____

   What should you do? Why?

   ____

   ____

   ____

   ____

6. “Yesterday the manager of the waste disposal company that handles our recycling brought in 20 box tickets to the basketball game at the arena Saturday night. He said their organization had them left over from a huge promotion they were doing. There are enough tickets for my entire team and everyone is really excited. What should I do?”

   What is the ethical question?

   What should you do? Why?

Section 3 Important Terms to Understand

While some of these terms refer to procuring goods and services in public housing, they are important ethical concepts for supervisors and managers throughout the agency to understand.

Conflict of interest. Conflict of interest occurs when a PHA employee, officer or agent, or member of their family, stands to gain financial or otherwise from a decision made by the PHA. Simply stated, we must avoid conflict of interest, real or perceived.

- Conflict of interest refers to a situation when someone, such as a PHA employee, has competing professional or personal obligations or personal or financial interests that would make it difficult to fulfill his or her duties fairly.
- Conflict of interest can be subtle and occur in a number of ways, including rewards such as lunches, discounts, and freebees, so as a manager or supervisor, your job is to be vigilant. If it doesn't feel right (doesn't pass the "mom test"), it probably isn't right. The important thing is for you to report a ***possible*** conflict of interest. It will be up to your manager, your executive director, or the board to decide whether, even as a perceived conflict of interest, it could be damaging to the PHA's reputation.

In addition, the Hatch Act legislates that covered state and local employees may not:

- Be candidates for public office in a partisan election;
- Use official authority or influence to interfere with or affect the results of an election or nomination; or
- Directly or indirectly coerce contributions from subordinates in support of a political party or candidate.

Gifts. PHAs' ethics policies should address this issue, and it's important as a supervisor or manager that you model the spirit and letter of these policies. The PHA may set minimum rules where the financial interest is not substantial of the gift is of nominal value. For example, at many PHAs, it's allowable to accept a gift valued at under $25 (for example, holiday chocolates or a pie from a tenant), if the gift is shared with everyone.

Nepotism. Nepotism is an unfair practice in which people in power give positions in an agency to relatives or friends, rather than to who is well-qualified. Your PHA ethics policy may allow the agency to hire relatives of employees, but would not allow a relative to report to or be overseen by a family member.

Section 4 Ethics in Procurement

HUD requires each PHA to adopt a procurement policy, and the statement of ethics is a key part of the procurement policy. Let’s see how ethics and the procurement policy work together.

The agency’s policy must insure that the PHA provide equal opportunity for all to participate, and must incorporate standards for ethical behavior.

PHAs’ procurement policies must also comply with state and local law. These laws include provisions on freedom of information and the right to privacy.

As well as state and local law, PHA policy must comply with 2 CFR Part 200 (the “Common Rule”) and HUD’s Procurement Handbook 7460.8 Rev 2 (this handbook applies only to the operation of public housing).

- As always, in a conflict between federal and state or local law, the more restrictive or protective law prevails. For example, the federal limit for small purchases is $150,000, but state or local law may establish a lower limit, or the board may establish a lower limit for more oversight and control.
- The American Recovery and Reinvestment Act of 2009 (ARRA) preempts state law. If your state law has a lower threshold for small purchases, ARRA allows you to use the federal limit now at $150,000 for the stimulus money only.

Ethics in procurement is becoming an important topic as procuring goods and services and monitoring contracts is decentralized in public housing. It's essential, if you’re a property manager with procurement duties, to understand the regulations and your ethical obligations.

- It is crucial that the PHA’s procurement policy clearly state what the spending and procurement threshold is for each position, whose approval is needed above that threshold, and the process to be followed. And, of course, the property manager will need to work within his or her budget. A central question will be, “Can my project afford it?”

SECTION 5 GUIDELINES FOR MANAGING ETHICS

Managing ethics is a process. Ethics programs don’t deliver products. The most important aspect of an ethics program is the process of thinking and dialogue.

The most important outcome of an ethics program is fair behaviors in the workplace. Codes of ethics or policies have to be followed by how-to instructions and training.

The best way to handle ethical dilemmas is to keep them from happening in the first place. That is why codes of ethics and conduct are so important-they sensitize employees to ethical considerations and reduce the chances of unethical behavior happening.

If at all possible, ethical decisions should be made in groups, and decisions should be made public. Of course, this isn’t always possible. But when appropriate, a collaborative and non-secretive process usually produces better quality decisions by including diverse interests and viewpoints, and increases the credibility of the decision process.

It’s important to integrate ethics with other management practices. For example, when developing personnel policies, ethical values, behaviors, and consequences should be included.

Value forgiveness. Bringing ethical issues to the forefront may actually increase the number of ethical issues at first, because people are more sensitive to them. So there may be more occasions to address people’s unethical behavior. People make mistakes. It's important for the agency to help people recognize and address their mistakes and then support them to continue to try to operate ethically.

Trying to operate ethically and making a few mistakes is better than not trying at all. All organizations are comprised of people, and people are not perfect. It’s the trying that counts.

Establishing Internal Controls

The best protection against risk is good management, up-to-date personnel policies, and insurance coverage. Remember the principle that employees are productive when they know what's expected of them. We'll focus here on good management, because whether you're a frontline supervisor or an executive director, your good management can help protect your project, program, and agency.

Protecting against employee fraud and theft. This isn't a pleasant topic, but a system of internal control and prevention is much less agonizing than dealing with an event once it's happened. An internal control system should consider the following:

- Limiting access to resources and records to authorized employees
- Separating the duties of authorizing, processing, recording, and reviewing financial transactions and assigning them to different employees
- Verifying education and experience before hiring
- Promoting the formal education and on-the-job training of employees
- Disseminating up-to-date written policies and procedures
- Being a model for the ethical care of agency resources

Developing systems for accountability. You can exemplify an environment of accountability by attending to the following five fundamental components:

- Setting the tone. This means professional conduct and adhering to the code of ethics of your agency.
- Risk assessment. Are there areas where your project, program, or agency are at risk? Legal liability is the obligation to do, or to refrain from doing, something. Are there areas of safety, financial, discrimination, or personnel liability? Are supplies and equipment not secured properly? Are agency vehicles used inappropriately or not maintained properly?
- Control activities are put in place once risks are identified. Participant and tenant fraud is decreased by use of EIV, hotlines, rigorous file documentation and review, and lease enforcement in public housing. Employee fraud is decreased by financial accountability and controls, accurate and on-time financial reports, security of files and equipment, confidentiality, and an agency process for employee reporting of violations. Independent check of employees' work by supervisors or compute validation routines, access cards, and a fair investigatory process are other best-practice control activities.
- Monitoring means overseeing your project, program or agency to verify that controls are in place and are being utilized. Your monitoring needs to be ongoing and regular. Some monitoring should be "unscheduled."
- Communication, again, is critical to ensure that everyone knows what you're monitoring, how, and why. Communication is both horizontal (the easy flow of information to your employees, colleagues, and other managers) and vertical (informing your boss and the executive team of risks and liabilities).

SECTION 6 ETHICS AND LEADERSHIP

Ethics is the heart of leadership, bringing us full circle, where you bring all your talents, skills, commitment, and common sense to your function. Whether you're a frontline supervisor or an executive director, you set the tone for your project, program, or agency.

A leader is someone with a vision and the ability to be a reminder of that vision. Your commitment to serve families by providing quality housing programs is the mission that you embody in your everyday work.

Leaders all have different qualities but there are at least seven that are common to all. If you want to be someone that people look up to and trust, you can develop these qualities in yourself.

- Leaders are continually learning. We must never assume we're "done" learning and know it all. We're always asking questions and growing. The more we learn, the more we realize we don't know. We're not threatened by those around us who have more knowledge than we do.
- As leaders, we serve others; in business, in the community, in our families. We reach out and get involved in things that matter most. We're not afraid to dig in with the team and do anything that needs doing—we're not too big to do the small things.
- We take responsibility for our attitude. We see each problem as something we can learn from.
- As leaders, we believe in those around us. In addition to getting to know people well enough to place them in the right positions, we also encourage people to grow and be the best they can be every day. We never let others decide for us how we will react to a person or situation; we assess for ourselves.
- We value forgiveness, which helps us learn from our own mistakes and helps us help others to learn from theirs. We make fact-based decisions and aren't afraid to take decisive corrective action if needed. We're honest with ourselves and others, and accept responsibility without excuses.

- Leaders are creative, so we look forward to new challenges. We're secure within ourselves because we know we did our best every time. We don't avoid people but rather get involved with others and learn from them. We're flexible when we not only accept change, but anticipate it as well.
- We try to be balanced. We balance our work, fun, family, and friends. We have a good sense of humor and can chuckle at ourselves. We know our own worth but have no need to brag about it.

SECTION 7 GROWING AS A SUPERVISOR

Agencies change rapidly. It’s difficult to have just one approach to doing anything in an agency because that approach will soon become outdated. Continuous learning in life and in your agency has become important! Continuous learning places a priority on recognizing, adapting to, and learning from change.

Continuous learning is the ability to learn to learn. You are using continuous learning when recognize your personal values and have a personal vision of what you want to achieve. You're viewing life as a “learning program,” where you learn from every situation, including work. You take responsibility for your life and reflect on your experiences.

You seek and accept feedback about yourself. Feedback may be in small, informal and surprising ways. Feedback is all around us. As a lifelong learner, you have the courage and humility to change and seek change over time.

Continuous Learning in Organizations

Organizations can establish ways that help employees to learn change. For example, continuous learning occurs when employees have a clear, shared vision of the organization’s goals and values. Employees get time to inquire and reflect about what they are doing and why.

A hallmark of a learning organization is one in which management can support a climate where feedback is freely exchanged. Not only formal meetings, but frequent “powwows” and exchanges of information take place. The environment tolerates some risk-taking, which means people aren't blamed for mistakes but are helped to learn from them.

Planning, as discussed in an earlier chapter, is a form of continuous learning. Don’t forget that your plans are not ends in themselves. When plans are seen as guides that can be changed, a great deal of learning can occur.

Professional Development

Professional development is learning how to be more effective in your current and planned roles in your career. Joining a professional organization, attending college or university classes that relate to your professional growth, reading books or professional journals, and attending workshops and seminars are just some of the many sources for professional development.

Another strategy for your professional growth is forming a peer coaching group. The group could consist of other first-time supervisors, middle managers, or executives from other industries; the specifics of the agencies may differ, but the principles of supervision and management transfer across all businesses.

You want to be seen as a successful supervisor or manager. This doesn't mean bragging about yourself or constantly "tooting your own horn." However, you want to make sure your major accomplishments are noted. In order to be seen as the high-performing professional you are, and to grow in your agency, you should volunteer for special assignments and participate visibly in professional or industry groups. Add meaningfully to the dialogue in your field by offering to help revise agency or program policies. Speak up if you see an emerging problem. Get to know what other key positions do in your agency so you can collaborate and communicate effectively.

Writing skills become more important as you move up in any organization (transition between these two ideas could be clearer)—offer to help revise or establish policies. In doing so, you'll get to work with a cross-section of managers and build relationships while you're building your reputation.

Finding a mentor may be one of the most important decisions you make in your career. Studies show that a common characteristic of successful people is their statement that "Someone believed in me." The mentor may be someone within your agency or the low-income housing industry, or it may be someone who was a high-level executive in the nonprofit world, a successful entrepreneur, or just a gifted coach and mentor whose vocation it is to help others succeed. The setting doesn't matter as much as the relationship. It could be someone you talk to frequently, someone you talk to once a year, or it could be several people. It could be your father, a former elementary school teacher, a friend of the family's, a pastor, a business leader in your community, or anyone whose counsel you trust and who's willing to mentor you as someone who wants to do your best—someone who believes in you.

Your Career

Your career is your responsibility. No one, not your employer, your mentor, your parents, or your friends, can give you a career that is meaningful and satisfying. You must create that for yourself.

But how does that happen? How do you increase the satisfaction as well as the paycheck that you bring home from work each day? The literature on this subject is vast. Following are some principles, drawn from a cross-section of literature, including “Six Secrets to a Healthy Career” by Peter Weddle and “Beyond Success” by Robert A Draper.

You want your career to be based on your natural talents. You probably won’t be good at a job that doesn’t interest you or utilize your talents. All of us have an inherent capability which we can perform extraordinarily well and enjoy using day-in and day-out. You are a “natural” at skills to which you are intuitively drawn to by your calling.

Accept the fact that your boss won’t always appreciate you, that you won’t always get your way at work, and that there will be people who bug you. Instead of wanting to change others or change reality, try to see such problems as challenges that can help you grow. Taking things personally is not required. Ask yourself, “Would I rather be right all the time, or would I rather be happy?”

Enjoy the good times and your achievements at work. Recognize what you’ve accomplished in your work and celebrate those successes. Don’t always expect recognition to come from others.

Pay attention to your coworkers and friends in the workplace. The relationships you have at work contribute to your career’s health in many ways. They provide a resource you can tap to solve problems at work, they enable you to return the favor (and enhance your own self-respect) by assisting others when they need it, and they provide a safety net of contacts that can be there for you, sometimes in unexpected ways, when you need help.

Learn about yourself from the people at work who are difficult for you (and may be, or may not be, for everyone else). Instead of taking the attitude, “It's their fault, not mine,” ask yourself if making an attitude adjustment yourself can help you see this relationship as a valuable learning experience.

Take time off, but really take it off. The workweek is getting longer and our employers more demanding. Frequently, our response is to overwork ourselves or pretend that we're on vacation while we talk to the office on our cell and answer e-mail. Rest and recuperation aren't just nice to have—they're essential. Without them, your performance degrades and that, in turn, puts your reputation at risk.

Give some of what comes naturally to you to others. A healthy career involves doing some of your best work for yourself and for others as well. Helping others can come in many forms; sometimes a kind word from you seems like no big deal but can make more of a difference in that moment than you could imagine.

To be successful in your career, you want to develop not only capacity but endurance. In order to "deliver the mail" in the long run, make sure you balance your life-work, play, and your family and friends.

Chapter 9 - My Career Map

List here what you learned in this chapter regarding your responsibilities and actions in ethical dilemmas. Where are your strengths and challenges when ethical questions come up? Use the situations in Learning Activity 9-1 (page 9-8) to help you identify ethical concerns and the ease with which you respond to them. We will return to this information again as you complete your own career improvement plan.

Who and Where I Am	NOW	Who and What I Want to Be	What I Will Do	Date
My Responsibilities for Handling Ethical Situations:				
My Strengths in Ethical Situations:				
My Challenges in Ethical Situations:				
How I Manage Conflict of Interest:				

SECTION 8 CHAPTER 9 POST TEST

1. Knowing the right thing to do:
   a. Is always easier than doing the wrong thing
   b. Means acting in your individual self-interest and not in others' interest
   c. May be both more simple and more difficult than an unethical course
   d. Is always obvious
   e. Is regulated in detail in HUD regulations

2. The supervisor or manager must be vigilant to not take any action that would be a conflict of interest; however, a possible perceived conflict of interest does not need to be reported and is up to the individual manager's or supervisor's discretion.
   a. True
   b. False

3. There are no business guidelines for managing ethics, since ethics is in the realm of philosophy and religion.
   a. True
   b. False

4. The three "Rs" in thinking through an ethical decision are:
   a. Reading, 'riting, and 'rithmetic
   b. Review, regard, and resolve
   c. Respect, responsibility, and results
   d. Readiness, rigor, and resources
   e. Recognition, research, and refusal

5. In ethics, some things count while other ethical issues should be ignored.
   a. True
   b. False

CHAPTER 10 Post Test Answer Key

Chapter 1: The Basics of Supervision

1. b
2. e
3. a
4. b
5. b
6. d
7. a
8. b
9. e
10. a

Chapter 2: The Supervisor and the Organization

1. b
2. b
3. b
4. d
5. b
6. b
7. a

Chapter 3: Supervisory Competencies

1. a
2. b
3. c
4. b
5. b
6. b and d
7. c
8. b
9. d
10. b
11. a
12. a: Knowledge; b: Skills; c: Abilities
13. b
14. c
15. b
16. d
17. Knowledge and Skills

Chapter 4: Employee Recruitment, Selection, and Training

1. b
2. a
3. b
4. b
5. a
6. b
7. b
8. b
9. e
10. e
11. b
12. a

Chapter 5: Supervising a Team

1. b
2. d
3. a
4. b
5. c
6. b
7. e
8. b
9. b
10. a
11. a
12. b
13. b
14. a
15. c
16. b
17. c
18. b
19. When the decision doesn't need to be made immediately (it's not an emergency), you want everyone's ideas, you want to include everyone, and when you want "out of the box" ideas.
20. b

Chapter 6: Managing Job Performance

1. b
2. e
3. a
4. a and d
5. b
6. b
7. b
8. b
9. c

Chapter 7: Planning and Monitoring

1. c
2. b
3. b
4. d
5. b
6. b
7. c
8. e
9. b
10. a
11. c
12. b
13. a
14. a
15. c
16. a
17. e
18. c
19. b

Chapter 8: Managing Nondiscrimination

1. b and e
2. c
3. b
4. a
5. b
6. a
7. a
8. b
9. b
10. b
11. a
12. b
13. d
14. a
15. d

Chapter 9: Ethics

1. c
2. b
3. b
4. c
5. b

Notes

