Essential Supervisory Skills
Supervisor’s Toolbox
5th Edition
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WELCOME!

*It takes unbelievable courage to be a good manager.*

*Arin Ain, CEO of Kronos*

People join organizations and leave bosses. Mr. Ain, quoted above, also said, “I believe very strongly that the single largest component of [an organization] that adds value is great management, and the single largest destroyer of value is bad management.”¹

The Supervisor’s Toolbox was created to support managers and supervisors as a ready reference of proven tools. These are drawn from over thirty years’ experience in human resources and organization development. Most are original, yet several are adapted from a range of sources encountered over the years.

The moment of truth occurs in our conversations with one another. How grounded a supervisor is in their values, the repertoire of tools they can draw upon, and their commitment to listen as well as talk are keys to making those moments with employees positive and productive.

This Fifth Edition has been substantially reorganized. In addition to reworking several tools, it includes seven new ones and two new chapters—Ch. 3 How to Listen and Ch. 11 Meeting Tips.

I hope these tools will give you confidence in handling the challenges you face day-to-day and contribute to your success and the success of those whose lives you touch.

*Richard Wilkinson*

*Associate Vice Chancellor*

*Organizational Effectiveness & Development*

*University of Washington Tacoma*

*September 2016*

**OVERVIEW**

Use the Supervisor’s Toolbox as you would any toolbox—dive in and pick just what you need. The Toolbox is mean to be a just-in-time resource to help you handle whatever challenge or opportunity presents itself.

The Toolbox is organized into four sections and eleven chapters.

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<th>CHAPTER</th>
<th>FOR NEW SUPERVISORS</th>
</tr>
</thead>
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2 Your Management Style  
3 How to Listen | 1.1 The Heart of Supervision  
2.1 The Guardian Lions of the New York Public Library  
3.3 Listening Assessment |
| **2 Getting Started** | 4 Effective Hiring  
5 Onboarding | 4.3 Create a Selection Calendar  
4.11 Summary—Best Practices for Hiring  
5.2 Sample Onboarding Plan |
| **3 Core Responsibilities** | 6 Fostering Accountability  
7 Helping Staff Grow  
8 Performance Reviews  
9 Correcting Performance Problems | 6.1 Many Ways to Delegate  
6.2 Delegation Worksheet  
7.2 Menu of Professional Development Options  
7.9 Tips for Giving Positive, Powerful Feedback  
8.3 Performance Review Steps  
9.3 The Four Steps to Address Performance Problems  
9.7 Clarify Your Concerns and Approach |
| **4 Advanced Skills** | 10 Managing Change & Transition  
11 Meeting Tips | 10.2 The Three Phases of Transitions  
10.3 The Three Questions of Transitions  
11.6 Summary: What You Can Do to Increase the Effectiveness of Your Meetings |

What Else You Can Do with the Toolbox
- Collaborate with an employee by sharing and using a tool together
- Share and discuss a tool with your team to foster team learning
- Form a book group to read and practice the tools
- Help a colleague by sharing a relevant tool with them
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PART 1

FUNDAMENTALS OF SUPERVISION
Chapter 1

The Heart of Supervision

1.1 The Five Key Words of Supervision
1.2 The Heart of Supervision
1.3 Five Traits of a Great Boss

Nearly anyone can stand adversity, but if you want to test a person’s character, give them power.

Abraham Lincoln
## 1.1 The Five Key Words of Supervision

These *five* words serve as touchstones to guide and bolster supervisors in their day-to-day work of supporting employee success.

<table>
<thead>
<tr>
<th>Clarity</th>
<th>Empathy</th>
<th>Courage</th>
<th>Attention</th>
<th>Persistence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clear, understandable, simple</td>
<td>Understanding, appreciation, compassion, insight</td>
<td>“Courage is what it takes to stand up and speak; courage is also what it takes to sit down and listen.”</td>
<td>Concentrated direction of the mind; &lt;ul&gt;&lt;li&gt;awareness&lt;/li&gt;&lt;li&gt;consciousness&lt;/li&gt;&lt;li&gt;watchfulness&lt;/li&gt;&lt;li&gt;mindfulness&lt;/li&gt;&lt;/ul&gt;</td>
<td>To continue steadfastly or firmly in purpose or course of action</td>
</tr>
</tbody>
</table>

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**So that supervisors...**

| Encourage, direct, delegate, and give feedback in a way that is clearly understood by others | Act with a full understanding of what others are experiencing | Step up to the practical and emotional challenges they must face | Demonstrate the value of employee efforts and contributions | Stay focused on what they are striving to achieve and not giving up in the face of distractions and setbacks |
1.2 The Heart of Supervision

This chart describes behaviors that achieve the core responsibilities of supervisors in ways that are motivational to knowledge workers.

- That **Listening**, **Setting Goals**, and **Cultivating Accountability** are core responsibilities of supervisors stems from the premise that supervisors are ultimately responsible for seeing that their unit delivers the level of service required by their organization.

- **Autonomy, Mastery, and Purpose** are the essential factors that motivate knowledge workers to contribute their talents most fully to an enterprise. The degree to which these factors are present or absent in an individual’s job is largely determined by their supervisor. §

The quality of the work environment, the productivity of employees, and the level of employee engagement is largely determined by the degree of authenticity and skill with which these behaviors are practiced day-to-day.

<table>
<thead>
<tr>
<th>Autonomy</th>
<th>Mastery</th>
<th>Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>Listen</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Know your employees</td>
<td>1. Encourage career aspirations</td>
<td>1. Keep current</td>
</tr>
<tr>
<td>2. Pay positive attention</td>
<td>2. Identify relevant learning opportunities</td>
<td>2. Scan the horizon</td>
</tr>
<tr>
<td>3. Put yourself in their shoes</td>
<td>3. Serve as a sounding board when difficult situations arise</td>
<td></td>
</tr>
<tr>
<td>4. Ask for feedback</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| Set Goals |         |         |
| 1. Delegate intentionally | 1. Give challenging assignments and the chance to learn something new | 1. Connect the work to the mission |
| 2. Build trust—listen, inform, follow-through, advocate when appropriate | 2. Support learning | 2. Walk the talk |
| 4. Foster teamwork | | 4. Clarify your values and seek to understand the values of your staff |

| Cultivate Accountability |         |         |
| 1. Clarify responsibilities, authority, expectations | 1. Be alert to coachable moments | 1. Ask: What best serves the organization’s mission, vision, and values? |
| 2. Encourage problem-solving. Ask: “What would you do?” | 2. Encourage learning from the work | 2. Identify and discuss the ethical dimensions of our work |
| 3. Paint a picture of success | 3. Give timely, specific feedback | |
| 4. Establish regular communication routines | 4. Connect to mentors | |
| 5. Reward good work | | |
| 6. Be candid about work that is sub-par | | |

§See annotated bibliography
1.3 The Five Traits of a Great Boss*

In a Fierce, Inc. survey of more than 1,700 corporate executives, employees, and educators, some 70 percent said they have a “positive” working relationship with their boss.

Here are five key traits that make a great boss:

1. **Value what employees say.** Eighty percent of respondents who identified a positive relationship with their boss said that one of the top factors in the relationship’s success is that their employer values their input. When your employee comes to you with an idea, it’s important to sit down, actively listen, and explore the idea even when it seems unrealistic at first. If you miss the opportunity to process their input you will not only short-change yourself, you will diminish the relationship.

2. **Solicit diverse opinions.** Forty percent of people who claimed a poor working relationship said that the relationship was failing in part because their manager never solicited their input in the decision-making process. Not all employees will volunteer their opinions, especially early in the relationship. Actively solicit diverse opinions and feedback, and draw out all perspectives. This will help ensure that employees feel heard and valued, keeping them engaged and encouraging them to grow.

3. **Offer constructive feedback.** Almost 40 percent of survey participants who reported a good relationship felt that it was important for managers to offer constructive feedback. While listening is important, supervisors must also play an active part in staff development by offering perspectives on their ideas. This takes extra time and effort, but it is well worth it to ensure that employees are prepared to take on new responsibilities and roles.

4. **Be honest.** More than 33 percent of respondents also cite honesty as a key component of a successful relationship. Employees crave transparency and candor. Trust that your employees are capable of handling the truth, whether it’s in reference to their performance or the company’s overall trajectory. When reality is presented in a non-threatening manner, people can rise to the occasion while gaining the opportunity to play a more meaningful role in their individual and collective success.

5. **Keep everyone informed.** More than 40 percent of those surveyed who claimed a bad working relationship with their manager felt their boss failed to keep them in the loop. Once a decision is reached, leaders often fail to communicate the decision effectively to those who are affected by it. Keep your employees informed so they clearly see the impact they have on the organization and your decision-making process. Few things can be more frustrating than being left in the dark. People crave high levels of candor, collaboration, and curiosity from their managers. While it may require leaders to slow down, building relationships that foster engaged employees and improved decision-making on both sides is more than worth it.

*By Halley Bock, “Ragan’s HR Communications”, 14 October 2011. Used with permission. Halley Bock is the former CEO of Fierce, Inc., a Seattle-based leadership and development training company that drives results for businesses by improving workplace communication.*
Chapter 2
Your Management Style

2.1 The Guardian Lions of the New York Public Library
2.2 Guardian Lions Worksheet
2.3 Statement of Your Management Expectations

The journey to becoming a wise and effective leader begins with the work of understanding oneself.

Kyle Dodson
School Principal
2.1 The Guardian Lions of the New York Public Library

Metaphors have power. During the 1930s, New York City Mayor Fiorello LaGuardia named the guardian lions in front of the New York Public Library for the qualities he felt New Yorkers would need to survive the economic depression: Fortitude and Patience. These names have endured ever since, capturing two important touchstones needed for navigating life’s challenges.

What are the touchstones for your management practice? What two ideas are most important to you, that you want to be known for in your interactions with others? Keeping these two ideas in mind will help simplify and clarify your daily management, and reliably guide your actions in ways that meet your personal aspirations for excellence.
2.2 Guardian Lions Worksheet

Use this worksheet to consider how your Guardian Lions are demonstrated in action. How do you translate your central values into daily practices? One way the author’s Guardian Lion of *Clarity* manifests itself is through engaged listening and paraphrasing. In this way, I can be sure I understand the speaker’s intent or correct any misunderstanding I may have.

At the same time, a skill can be overused in a way that obstructs your success instead of contributing to it. For example, listening well and paraphrasing can be a problem when the speaker mistakes one’s understanding for agreement. Being aware of these risks can help you minimize the impact of overusing a particular skill.

<table>
<thead>
<tr>
<th>Example</th>
<th>Your Guardian Lions</th>
<th>3 ways these show up in practice</th>
<th>Evidence of overuse</th>
</tr>
</thead>
</table>
| Clarity | 1. Active listening and paraphrasing  
2. Careful attention to email structure  
3. Weekly prioritization | 1. Confusing my understanding for my agreement  
2. Over-editing simple messages  
3. Not allowing for the unexpected |

**Lion #1**

1.  
2.  
3.  

**Lion #2**

1.  
2.  
3.  

...
2.3 Statement of Your Management Expectations

Don’t make your staff guess at what you are looking for in their work. By being clear about what you want will ensure you are more likely to see the results you desire.

Here are three examples of how different managers have done so. This is a great exercise to clarify what matters to you most and a gift to those who work with and for you.

Three Sample Statements of Management Expectations

*Each of us represents all of us—we are always ambassadors for our team and our organization.*

*Good design contributes to clarity and reflects mastery.*

*Keep asking, “How can we do this better?”*

*Every interaction is a moment of truth in the application of our values.*

*Everyone deserves respectful and courteous treatment, regardless of their circumstance or behavior.*

*Own the difference you can make.*

*Care about the work and one another.*

*Show up on time, be nice, work hard.*

*Ask questions if you don’t know.*

*Share your ideas.*

*Take responsibility for your own professional development.*

*Be patient with those who are impatient.*

*Work hard on things that matter.*

*Treat each other well.*

Write what you expect of your team here. Share when done. Revise as needed.
The difference between listening and pretending to listen is enormous. Real listening is a willingness to let the other person change you. When I’m willing to let them change me, something happens between us that’s more interesting than a pair of dueling monologues.

*Alan Alda*

*American Actor*
## 3.1 How to Listen

Listening well takes effort and concentration. Consider these tips from consultant Rick Ross to becoming a better listener. §

1. Stop talking: to others and to yourself. Learn to still the voice within. You can’t listen if you are talking.

2. Imagine the other person’s viewpoint. Picture yourself in her position, doing her work, facing her problems, using her language, and having her values. If the other person is younger or more junior, remember your early days at the organization.

3. Look, act and be interested. Don’t read your mail, doodle, and shuffle or tap papers while others are talking.

4. Observe nonverbal behavior, like body language, to glean meanings beyond what is said to you.

5. Don’t interrupt. Sit past your tolerance level.

6. Listen between the lines, for implicit meanings as well as explicit ones. Consider connotations [secondary meanings] as well as denotations [explicit meanings]. Note figures of speech. Instead of accepting a person’s remarks as the whole story, look for omissions—things left unsaid or unexplained—which should logically be present. Ask about these.

7. Speak only affirmatively while listening. Resist the temptation to jump in with an evaluative, critical or disparaging comment at the moment a remark is uttered. Confine yourself to constructive replies until the context has shifted and criticism can be offered without blame.

8. To ensure understanding, rephrase what the other person has just told you at key points in the conversation. Yes, I know this is the old “active listening” technique, but it works—and how often do you do it?

9. Stop talking. This is first and last, because all other techniques of listening depend on it. Take a vow of silence once in a while.

§See annotated bibliography
3.2 Follow the Blinking Word

What better way to learn, convey respect, and demonstrate unequivocally that another person matters than by listening to them. This technique comes from Beverly Kaye and Sharon Jordan-Evans.

They write, “You can get more of what you want from your work if you improve your listening and your understanding of how work really gets done, the challenges your organization faces, changes coming, and the challenges your boss faces...When you tune out, you miss out.”

Following the blinking word will force you to pay close attention to what another person is saying. §

Technique

1. Identify one word of what the speaker has said that blinks (stands out).
2. Ask about any one of the blinking words.
3. Listen for the answer.
4. Notice the blinking words in his or her answer and question one of them.
5. Pay attention to the answer.
6. Identify one blinking word in his or her answer and question it.

Example: You’re having lunch with Brad, a coworker. As he talks, you decide to get curious and really listen. Brad says, “This project is a nightmare. I can’t wait for it to end.”

1. Speaker: “This project is a nightmare. I can’t wait for it to end.”
   You could inquire about project, nightmare, or end.

2. You: “Tell me more about the work. What makes it a nightmare?”

3. Speaker: “It’s a nightmare because of the customer.”

4. You: “What about the customer makes this so hard for you?”

5. Speaker: “He complains about everything. Then he sets another impossible deadline.”

You: “Does he have total control over your deadlines?” or “Tell me about his biggest complaints.”

§See annotated bibliography
# 3.3 Listening Assessment

Rate yourself using this assessment to find out how well you listen. Some of the items describe behaviors that demonstrate effective listening and some that obstruct effective listening. Feeling bold? Ask others to rate you using the same scale.

<table>
<thead>
<tr>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 = Never</td>
</tr>
</tbody>
</table>

1. I give the impression that I am fully listening.
2. I make the speaker feel as if he or she is the center of the conversation.
3. I give the speaker plenty of time to talk.
4. I refrain from interrupting the speaker.
5. I look at the speaker with encouraging eye contact.
6. I fidget with objects or otherwise act distracted.
7. I help keep the speaker on track with paraphrasing.
8. I probe for deeper understanding.
9. I finish the speaker’s sentences.
10. I convey an attitude of openness and sincerity.
11. I put the speaker at ease, encouraging deeper sharing.
12. I ask questions that open up the discussion.
13. I ask questions to direct more discussion to a particular point, when helpful.
14. I ask questions to draw out emotions as much as fact.
15. I insert humorous remarks even when the speaker is serious.
16. I sneak a peek at my watch or cell phone.
17. I smile at the speaker and lean forward to convey interest.
18. I’m willing to be influenced by what I hear.
19. I create an atmosphere of trust and connection through listening.
20. I demonstrate empathy through listening.
PART 2

GETTING STARTED
CHAPTER 4
EFFECTIVE HIRING

4.1  Hiring Process Overview
4.2  STEP 1: Position Review and Planning
4.3  STEP 2: Create a Selection Calendar
4.4  STEP 3: Recruiting and Advertising
4.5  STEP 4: Candidate Ranking
4.6  STEP 5: Interview Question Development
4.7  STEP 6: The Interview Process
4.8  STEP 7: Reference Checking
4.9  Sample Telephone Reference Check
4.10 STEP 8: Select and Offer
4.11 Summary—Best Practices for Hiring

Nothing we do is more important than hiring and developing people.

Lawrence Bossidy
Author & former COO of GE
4.1 Hiring Process Overview

The key to hiring good employees is effective planning during the recruitment process. The aim should be for a process that is

- Welcoming
- Clear
- Fair
- Efficient
- Timely
- Thoughtful

The most effective way to expedite the hiring process is for the hiring manager to make it a priority.
4.2  Step 1: Position Review & Planning

The first step to successful recruiting is to thoroughly review of the position. Second, start planning now for the recruitment→interview→selection process. Last minute logistical issues can cause frustrating delays and you may lose potential candidates.

The process you develop not only helps you find a talented staff member; it is a reflection of the organization. Consider the hiring process the beginning of a candidate’s relationship with the organization.

<table>
<thead>
<tr>
<th>Analyze the position</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Update Job Description</strong></td>
</tr>
<tr>
<td>- What is really needed?</td>
</tr>
<tr>
<td>- What possibilities does the position offer the organization and employee?</td>
</tr>
<tr>
<td><strong>Identify Key Competencies</strong></td>
</tr>
<tr>
<td>- What technical and business skills and abilities are needed to do the job successfully?</td>
</tr>
<tr>
<td><strong>Describe Critical Behaviors</strong></td>
</tr>
<tr>
<td>- What interpersonal qualities are needed given the complexity of interactions expected of someone in this position?</td>
</tr>
<tr>
<td><strong>Specify Experience and Education Levels</strong></td>
</tr>
<tr>
<td>- What minimum experience and education levels make sense?</td>
</tr>
<tr>
<td>- Caution! The higher the qualifications the fewer the applicants.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Plan ahead for the following</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>WHO will be involved?</strong></td>
</tr>
<tr>
<td>- Ranking</td>
</tr>
<tr>
<td>- Interviewing</td>
</tr>
<tr>
<td>- Reference Checking</td>
</tr>
<tr>
<td>- Selecting</td>
</tr>
<tr>
<td><strong>WHEN will the process take place?</strong></td>
</tr>
<tr>
<td>- Create a recruitment timeline or calendar</td>
</tr>
<tr>
<td>- Reserve time on calendars and rooms for interviewing</td>
</tr>
<tr>
<td><strong>WHERE will you post the position?</strong></td>
</tr>
<tr>
<td>- Newspapers and other customary sites</td>
</tr>
<tr>
<td>- LinkedIn groups</td>
</tr>
<tr>
<td>- Affiliation and association websites</td>
</tr>
<tr>
<td>- Partners</td>
</tr>
<tr>
<td>- The organization’s public websites</td>
</tr>
</tbody>
</table>
4.3 Step 2: Create a Selection Calendar

**Goal:** Hire a program coordinator to start by June 29 to refill the recently vacant position.

<table>
<thead>
<tr>
<th>April</th>
<th>May</th>
<th>June</th>
</tr>
</thead>
<tbody>
<tr>
<td>6 Update job description</td>
<td>7 Create selection calendar</td>
<td>5. Submit requisition</td>
</tr>
<tr>
<td>13</td>
<td>14 Prepare position announcement</td>
<td>15</td>
</tr>
<tr>
<td>20 Post position</td>
<td>21 Recruit, recruit, recruit!</td>
<td>16 Schedule interview panelists</td>
</tr>
<tr>
<td>27</td>
<td>28</td>
<td>29</td>
</tr>
<tr>
<td></td>
<td>30 Prepare interview questions</td>
<td></td>
</tr>
</tbody>
</table>

**April**

- **6 Update job description**
- **7 Create selection calendar**
- **5. Submit requisition**
- **9**
- **10**
- **13**
- **14 Prepare position announcement**
- **15**
- **16 Schedule interview panelists**
- **17**
- **20 Post position**
- **21 Recruit, recruit, recruit!**
- **22**
- **23**
- **24**
- **27**
- **28**
- **29**
- **30 Prepare interview questions**

**May**

- **4**
- **5 Start screening applications**
- **6**
- **7**
- **8**
- **11**
- **12 Complete screening of applications**
- **13**
- **14 Invite top applicants to interview**
- **15**
- **18**
- **19**
- **20 First interviews**
- **21 First interviews**
- **22**
- **25**
- **26 Invite top candidates for second interview**
- **27**
- **28 Complete second interview**
- **29**

**June**

- **1**
- **2 Inform top candidate of preliminary decision; ask for references**
- **3**
- **4 Start reference checking**
- **5**
- **8**
- **9 Complete reference checking; Obtain approval for salary offer**
- **10 Offer candidate position**
- **11 Hear back from candidate [They give 2 weeks’ notice]**
- **12**
- **15 Notify finalists of selection decision**
- **16**
- **17 Prepare onboarding plan**
- **18**
- **19**
- **22**
- **23**
- **24**
- **25**
- **26**
- **29 New Employee Starts!**
- **30**
A clear and fair hiring process starts with an open and competitive recruitment. Finding the right candidate is more about the quality of applicants than the quantity. This means it is less about casting a broad net, and more about targeting a specific talent pool.

### Experiment
- *Experiment* with different tools and websites such as LinkedIn, local papers and field-specific organizations.
- Consult with your HR recruiter and other managers for advice on where to advertise and promote the opening.

### Reach Out
- Encourage colleagues to *reach out* to their networks.
- Use listservs and networks of other hiring managers.
- Contact leadership in professional and community organizations.
- Give recruiting materials to colleagues attending workshops and conferences.

### Communicate
- *Communicate* key functions of the position, minimum qualifications, application deadline and other pertinent information.
- Maintain a consistent look and feel to all advertisements, using the organization’s logo when appropriate.

### Track
- *Track* where top candidates learned about the position and save data for future openings.
- Keep *track* of money spent on each recruiting activity.
### 4.5 Step 4: Candidate Ranking

A ranking sheet is a useful tool to score resumes, keep track of candidate information and to document the decision. Base the ranking sheet criteria on the requirements for the position. Weighting important criteria can help differentiate top candidates.

#### Sample ranking sheet

<table>
<thead>
<tr>
<th>Applicant</th>
<th>Education (Masters = 1 pt, Ph.D. = 2 pts)</th>
<th>Relevant Competencies (1 pt)</th>
<th>Relevant Work Experience (1 pt)</th>
<th>Score</th>
<th>Meets Min. Quals?</th>
<th>Interview?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Joe Husky</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>Jane Doe</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>4</td>
<td>Yes</td>
<td>Yes</td>
</tr>
</tbody>
</table>

#### Other areas to consider

- **Writing, Spelling and Grammar**
- **Bonus Skills**
- **Previous History with Our Organization**
- **Relocation**
### 4.6 Step 5: Interview Question Development

Use behavior-based interview questions to get the best indication of how a candidate will perform in the position. The premise of behavior-based questions is that past performance is the best indicator of future performance. Behavior based questions ask the candidate how they have handled situations in the past similar to things they would encounter in this position. Hypothetical and yes/no questions yield little insight on how a candidate will perform in the position.

Behavior based interview questions will ask the candidate to describe

1. **The situation**
   "Tell me about a time...."
2. **The outcome**
   "What was the outcome?"
3. **Learning**
   "What might you do differently next time?"

Here is an example of critical abilities for a Recruiter and possible interview questions to address them.

<table>
<thead>
<tr>
<th>Behaviors Critical to Success</th>
<th>Possible Question</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Patience; keeping cool under pressure</td>
<td>Tell me about a time when you worked effectively under pressure.</td>
</tr>
<tr>
<td>2. Flexibility; open to exploring</td>
<td>Tell me about a time when you had to change work midstream because of changing organizational priorities.</td>
</tr>
<tr>
<td>3. Skilled recruiter</td>
<td>Tell me about a difficult recruitment, and how you went about finding the best candidate in the time frame the hiring manager needed.</td>
</tr>
<tr>
<td>4. Highly motivated and energetic; enjoys the work and learning</td>
<td>Tell me about a goal that you set that took a long time to achieve or that you are still working toward.</td>
</tr>
<tr>
<td>5. Superior communication skills, both interpersonally and in writing</td>
<td>Tell me about a time when you had to present a proposal to a person in authority and were able to do this successfully.</td>
</tr>
<tr>
<td>6. Superior analytical, people, and problem solving skills</td>
<td>Tell me about a time when you had to analyze facts quickly, define key issues, and respond immediately or develop a plan that produced good results.</td>
</tr>
<tr>
<td>7. Excellent organizational skills</td>
<td>Describe your responsibilities for planning and organizing in your current position.</td>
</tr>
<tr>
<td>8. Technical expertise</td>
<td>Describe your experience and background in ___. What have been your biggest challenges and what have you learned to help you in your most recent role?</td>
</tr>
</tbody>
</table>
### 4.7 Step 6: The Interview Process

The interview process is the introduction to the future employee’s relationship with the organization. The following list is adapted from the most popular training video ever produced, “More Than a Gut Feeling III” by Dr. Paul Green (2000).

<table>
<thead>
<tr>
<th>Introduce</th>
<th>Support</th>
<th>Interview</th>
<th>Assess</th>
</tr>
</thead>
</table>
| • Ask rapport-building questions to put the candidate at ease  
• Describe the process and timeline for the recruitment  
• Discuss the job at the beginning of the interview  
• Provide a description of the team and work environment  
• Ask the candidate what questions they have about the position | • Take notes and explain why you are taking them  
• Maintain control  
• Be patient  
• Allow silence  
• Clarify the intent of questions, if needed | • Ask behavior-based questions about job-related experience  
• Ask the candidate questions about their resume  
• Press for specifics  
• Thank them, without offering feedback on performance | • Ask yourself: "Have I conducted this interview in a way that will contribute to the needs of UW Tacoma and the dignity of the candidate"  
• Thinking about the candidate, ask yourself about their:  
  • Experience and qualifications  
  • Characteristics and abilities  
  • Interpersonal skills |
4.8 Step 7: Reference Checking

References should be from professionals, and should not be from family members. Similar to interviewing, reference check questions should ask the reference how the candidate behaved. Questions should be driven by the position competencies.

Tips for good reference checks

- Check three professional references
- Write out behavior-based reference questions beforehand
- Use the position's competencies as your guide

Example

Competency: Works well under pressure.

Behavioral Question: “Please provide an example of how Joe Husky demonstrated the ability to work in a fast paced, ever changing environment.”
4.9 Sample Telephone Reference Check

This sample is based on the format recommended by the University of Washington.

Question: “I wish to verify some of the information given to us by [Applicant], who is being considered for employment at [Organization] as a/an [Position Title].”

---

**GENERAL REFERENCE QUESTIONS**

1. What is his/her job title and primary responsibilities? Dates of employment?
2. How would you describe the quality of his/her work?
3. How well did he/she respond to pressure (e.g., from high volume, deadlines, multiple tasks, public contact)?
4. How well did he/she plan and organize his/her work, and were assignments typically completed on time?
5. What was the amount of supervision required for him/her?
6. How well did he/she get along with other people (e.g., clients, co-workers, supervisors)?
7. How did he/she respond to criticism/interpersonal conflict?
8. What are his/her strongest skills as an employee?
9. What areas of his/her performance would benefit from further development?

---

**QUESTIONS SPECIFIC TO THE NEW POSITION**

Questions addressing specific duties of this particular position should be included. For example, such questions might cover one or more of the following areas:

- Technical knowledge or skills applicable to this type of work
- Experience in the applicable professional field
- Clerical skills/experience
- Lead/supervisory experience
- Budget/bookkeeping
- Fiscal management
- Computer applications (software, hardware, operating systems, etc.)
- Program development and project management
- Writing
- Interpreting and applying rules and regulations
- Presentations and public speaking
4.10 Step 8: Select and Offer

Here are some helpful tools to guide you through the selection and salary offer process.

Use these six factors in evaluating the final candidate

Skills  Abilities  Experience
References  Fit in Organization  Fit with Team

Factors to consider in determining salary

Years of Experience  Pay of comparable positions in the organization  Salary History  Budget

Salary Offer

**Salary Negotiating Tip**

*If a candidate asks for more money, highlight the benefits, working environment and professional development opportunities the position offers. Check with Human Resources and be sure not to over-promise.*
### 4.11 Summary: Best Practices for Hiring

<table>
<thead>
<tr>
<th>Planning</th>
<th>Recruitment &amp; Advertising</th>
<th>Ranking</th>
<th>Interviewing</th>
<th>Select &amp; Offer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Start early</td>
<td>Use the organization’s website</td>
<td>Use the job description as the basis for your ranking</td>
<td>Remember! Job analysis precedes question development</td>
<td>Consider technical and non-technical competencies</td>
</tr>
<tr>
<td>Analyze the job thoroughly</td>
<td>Leverage your networks</td>
<td>Weight criteria based on relevance to success</td>
<td>Use behavior-based questions</td>
<td>Consider candidate’s characteristics</td>
</tr>
<tr>
<td>Update job description</td>
<td>Assess candidates using measurable requirements</td>
<td>Avoid assumptions or guessing at motivations</td>
<td>Be warm and welcoming, introduce interview team, outline the process</td>
<td>Consider candidate’s experience</td>
</tr>
<tr>
<td>Design annual hiring plan (but be flexible)</td>
<td>Market the position, organization, environment, etc.</td>
<td>Create a ranking sheet to keep track of candidates</td>
<td>Let the candidate ask questions</td>
<td>Conduct reference checks. Pay attention to hesitations, ask follow-up questions</td>
</tr>
<tr>
<td>Create a hiring calendar</td>
<td>Announce the opportunity to staff and appropriate partners</td>
<td>Select top 2 – 4 for one opening</td>
<td>Discuss the candidates with the interview team immediately</td>
<td>Consider fit in the organization</td>
</tr>
<tr>
<td>Decide who to involve and their role</td>
<td>Provide informational interviews</td>
<td>Use cover letter as a writing sample</td>
<td>Schedule up to three interviewers per round</td>
<td>Set a realistic start date</td>
</tr>
<tr>
<td>Hire for multiple positions at the same time</td>
<td>Use LinkedIn; reach out to colleagues</td>
<td>Look for gaps, inconsistencies, changing jobs</td>
<td>Reel candidates in; describe why they should want to work here</td>
<td>Document decision; Debrief</td>
</tr>
<tr>
<td>Start to prepare for new employee</td>
<td>Send information about the organization and team</td>
<td>Notify candidates not selected for interview</td>
<td>Follow up with all those interviewed personally</td>
<td>Be consistent and fair</td>
</tr>
</tbody>
</table>
The actions one takes during their first three months in a new job will largely determine whether they succeed or fail.

*Michael Watkins*
*“The First 90 Days”*
5.1 Onboarding Overview

Setting a new employee up for success is the main goal of a good onboarding process. An employee should know what is expected of them in their first 60 days. These expectations should be realistic and encourage growth in technical aspects of the position as well as relationship building.

Create the Plan
- Be there on their first day
- Set up their office
- Make lunch arrangements

Clarify for the Employee
- The competencies and skills required
- Who they will be working with
- Expectations
  - Technical Relationships

Discuss with the Employee
- Goals for the first sixty days
- Initial assignments
- What success looks like
## 5.2 Sample Onboard Plan

Add appointments, meetings, training, networking, assignments, and events to this orientation plan. It works great to plan with your team the new employee’s first few weeks.

<table>
<thead>
<tr>
<th>First Day</th>
<th>First Week</th>
<th>First Month</th>
<th>First 60 Days</th>
</tr>
</thead>
</table>
| **EXAMPLE:**
Start time, lunch plans, workplace tour, initial meetings. What can you do to make the first day memorable for the employee?  
8:30 Greet employee in lobby  
8:45 Get settled in office  
9:15 Meet with manager; review orientation plan  
9:45 Team meeting  
Noon Team outing/lunch  
2:00 Workplace tour | **EXAMPLE:**
Meetings, training, document review, and networking priorities for each day.  
TUESDAY: Attend division staff meeting  
WEDNESDAY: Meet with colleagues in other units | **EXAMPLE:**
Check-in meetings, other meetings, training, and networking priorities for the rest of the month. | **EXAMPLE:**
Required training, workshops, professional or community events, ongoing networking. |

### Manager’s General Expectations

**EXAMPLE:**
Here is where you would insert your statement of management expectations created with Tool 2.3 [pg. 22].

It’s important for employees to understand their new boss’ values and mindset related to customer service, continuous improvement, learning, and representation of the organization.

### Initial Assignments

**EXAMPLE:**
1. Complete orientation  
2. Establish positive working relationships  
3. Make progress on...  
4. Master...  
5. Develop...  
6. Research...  
7. Review...

### Success Criteria for the First 60 Days

**EXAMPLE:**
“I will know you are succeeding to the degree you accomplish the initial assignments, establish effective working relationships with the team and within the organization, and own the key accountabilities of your position:”

- Accountability #1  
- Accountability #2...
### 5.3 The Five Conversations

These five recommended conversations with a new employee are adapted from Michael Watkins in his book *The First 90 Days.*

<table>
<thead>
<tr>
<th>Conversation Type</th>
<th>Description</th>
</tr>
</thead>
</table>
| **The situational diagnosis conversation** | In this conversation seek to explain how you see the business situation.  
- How did the organization reach this point?  
- What factors—both soft and hard—make this situation an exciting and challenging one? |
| **The expectations conversation** |  
- What does your new employee need you to do in the short term and in the medium term?  
- What will constitute success?  
- How will your performance be measured? When? |
| **The style conversation** | This conversation is about how you and your new employee can best interact on an ongoing basis.  
- What form of communication do you prefer? How often?  
- What kinds of decisions do you want to be consulted on and when can the employee make the call on their own?  
- How do your styles differ and what are the implications of your differences for how you should interact with one another? |
| **The resources conversation** |  
- What will the new employee need to be successful?  
- What do they need you, as their boss, to do? |
| **The personal development conversation** | Finally, discuss how this job will contribute to the employee’s personal development. What informal and formal opportunities for learning can they anticipate? *(See Chapter 5)* |

§See annotated bibliography
PART 3

CORE RESPONSIBILITIES
The conductor doesn’t make a sound. The power comes from his ability to make other people powerful, to awaken possibility in other people.

Ben Zander
Conductor and Speaker
## 6.1 Many Ways to Delegate

In addition to distributing work, delegation can play a central role in developing employees. There is no consistently right level of authority to delegate. It depends on the experience and track record of the employee and the urgency, complexity, and impact of the assignment.

Each of the seven levels of the delegation continuum is appropriate given the circumstances. I find myself most often using levels 2 to 5, with level 4 the most common—that is, collaborating with the employee in exploring various options based on research the employee has completed.

### Delegation Continuum

<table>
<thead>
<tr>
<th>Level</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Tell</td>
<td>Supervisor tells the employee what to do; employee may ask clarifying questions</td>
</tr>
<tr>
<td>2 Research</td>
<td>Employee researches issue; supervisor decides what to do</td>
</tr>
<tr>
<td>3 Recommend</td>
<td>Employee researches an issue and makes a recommendation on the best course of action; supervisor decides what to do</td>
</tr>
<tr>
<td>4 Collaborate</td>
<td>Employee and supervisor collaborate in exploring options and developing a solution to an issue</td>
</tr>
<tr>
<td>5 Check, then do</td>
<td>Employee decides on the best course of action, but checks with the supervisor for the go-ahead before implementing it</td>
</tr>
<tr>
<td>6 Inform</td>
<td>Employee implements the decision, but keeps the supervisor informed along the way</td>
</tr>
<tr>
<td>7 Empower</td>
<td>Employee is fully empowered to manage the issue as they see fit</td>
</tr>
</tbody>
</table>

1. **More Supervisory Control**
   - 1 Tell
   - 2 Research
   - 3 Recommend
   - 4 Collaborate

2. **More Employee Control**
   - 5 Check, then do
   - 6 Inform
   - 7 Empower

*Adapted from the Leadership Continuum published by Robert Tannenbaum and Warren Schmidt (1973)*
### 6.2 Delegation Worksheet

Effective delegation is a dialogue between the supervisor and employee. Using this worksheet will guide you through the steps needed to delegate effectively. You can use the worksheet as is, or reference it as you write an email to an employee in delegating an assignment, or use it as the agenda for meeting with the employee to discuss the work that needs to get done. §

#### Tell the employee...

**Deliverable:** The result you want

**Purpose:** Why this assignment matters

**Deadline:** When you want it

**Check-in:** How frequently you want to be updated

**Authority:** How far the employee can go on their own [See Tool 6.1]

#### Ask the employee...

- What **Obstacles** they anticipate encountering?
- How this task fits with their other **Priorities**?
- What **Resources** they need?
- How confident they are in completing the task on **Time**?

§ See annotated bibliography.
## 6.3 Delegation Worksheet Example

Using this worksheet will guide you through the steps needed to delegate effectively. You can use the worksheet as is, or reference it as you write an email to an employee in delegating an assignment, or use it as the agenda for meeting with the employee to discuss the work that needs to get done.

### Tell the employee...

**DELIVERABLE:** The result you want

*Interview hiring managers and prepare a report on how HR can better support their success in the selection process.*

**PURPOSE:** Why this assignment matters

*Hiring talented employees is central to the success of our organization. How we support hiring managers in finding, interviewing, and selecting talented employees is one of the main ways we in HR can contribute to our organization’s future.*

**DEADLINE:** When you want it

*Draft report by July 31*

**CHECK-IN:** How frequently you want to be updated

*Show me the interview questions before scheduling interviews with the hiring managers.*

**AUTHORITY:** How far the employee can go on their own [See Tool 6.1]

*I’ll decide on next steps based on your recommendations. [Level 3 on the delegation continuum]*

### Ask the employee...

- What **OBSTACLES** they anticipate encountering?
- How this task fits with their other **PRIORITIES**?
- What **RESOURCES** they need?
- How confident they are in completing the task on **TIME**?
### 6.4 Quarterly Team Goal-Setting Routine

Setting clear team goals each quarter brings focus to team efforts and alignment with leadership priorities. Doing so answers the question, “What does the organization get for investing in your team?”

In the process, team members learn from one another, contribute their insights to support the overall team’s success, and strengthen relationships. They become more engaged and better appreciate the dynamic context of the larger enterprise.

What’s more, it’s easy to get started. As the consultant Gary Ryan Blair says, “Goal setting starts with a pad of paper, a pen, and you.”

---

**First, sort your team’s activities into logical categories, or buckets, of linked activities. Now you’re ready to do quarterly goal-setting.**

- Project milestones
- Problems to solve
- Processes to improve
- Changes in the environment

---

1. **Scan the horizon together**
2. **Discuss, prioritize, sort into your team “buckets”**
3. **Draft the goals**
4. **Review the goals with your boss**
5. **Revise, finalize, and share**
6. **Implement**
7. **Monitor monthly**

---

---
Looking at the list of things you and your team need to accomplish. One way to prioritize them is to sort each item by the impact they will have and the difficulty in achieving that impact. In other words, to what degree is the impact worth the effort?

In evaluating “impact,” consider the consequence of the work in fulfilling your team’s role and the difference it will make to your team’s key stakeholders. The broader and more significant the impact, the higher the priority.

“Difficulty” gets at how easy or hard it will be to achieve what you are hoping to achieve. What obstacles will likely be encountered? How complex is the task? How dependent is the accomplishing the goal on the actions of others outside the control of the team? How many resources will it take in time and money?

A’s and B’s should predominate. If most of your goals are B’s—that is, high impact but very difficult to achieve—reassess!
Here is a simple, reliable format for writing clear, concise goals.

Hire an advisor by June 15 to fill a vacancy.

What will you do? About what? By when? Why?
### 6.7 Example of Team Goals

This is an example of quarterly goals for a human resources team.

<table>
<thead>
<tr>
<th>Hiring</th>
<th>Compensation</th>
<th>Professional Development</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>RECRUITMENT PROCESS IMPROVEMENTS</strong>—By the end of the quarter Implement the list of improvements in the flow and documentation of the hiring process so that the time of hiring managers is maximized and the success of selection processes enhanced.</td>
<td><strong>POSITION REVIEWS</strong>—Complete the analysis of the accounting job family and submit for position review to assure market competitiveness of these key financial positions. Due: November 15</td>
<td><strong>PROFESSIONAL DEVELOPMENT</strong>—Meet with leadership by October 31 to obtain their endorsement for a new professional development program so that the workforce has clear guidance and support for their continuous growth as professionals.</td>
</tr>
<tr>
<td><strong>NEW EMPLOYEE ORIENTATION</strong>—Finalize and then announce by November 1 the refreshed approach to new employee orientation enabling new employees experience a quality orientation experience online regardless of workplace location.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>MANAGEMENT DEVELOPMENT</strong></td>
<td><strong>PERFORMANCE MANAGEMENT</strong></td>
<td><strong>ORGANIZATION DEVELOPMENT</strong></td>
</tr>
<tr>
<td><strong>BASIC SUPERVISORY SKILLS</strong>—Complete a report by December 1 of participant experience in the basic supervisory skills program with the aim of updating and strengthening program content.</td>
<td><strong>PERFORMANCE REVIEWS</strong>—Convene a task force of supervisors and employees by November 1 to identify ways to strengthen and make more efficient the annual performance review process.</td>
<td><strong>CLIMATE SURVEY</strong>—Meet with leadership twice this quarter to assess their readiness to take action on the anticipated results of the proposed climate survey. The readiness assessment will determine whether we will proceed with the survey.</td>
</tr>
</tbody>
</table>
Chapter 7
HELPING STAFF GROW

7.1 The 70:20:10 Rule
7.2 Menu of Professional Development Options
7.3 How to Plan for Employee Development
7.4 How to Evaluate Workshop and Conference Requests
7.5 Coach Using the G-R-O-W-S Sequence
7.6 Sample GROWS Coaching Session
7.7 Sample Stay Interview Questions
7.8 Sample Mentoring Agreement
7.9 Tips for Giving Positive, Powerful Feedback

Leadership and learning are indispensable to each other.

*John F. Kennedy*
### 7.1 The 70:20:10 Rule

Research by the Center for Creative Leadership led to the 70:20:10 rule of learning and development. That is, “Lessons learned by successful and effective managers are roughly: 70% from tough jobs; 20% from people (mostly the boss); 10% from courses and reading.” The Center goes on to note that although coursework and training are seen as contributing just 10 percent to a leader's development, when done well they have an amplifying effect — clarifying, supporting and boosting the other 90 percent of a manager’s learning.

<table>
<thead>
<tr>
<th>70% of learning comes from tough jobs</th>
<th>20% of learning comes from relational experiences</th>
<th>10% of learning comes from coursework and training</th>
</tr>
</thead>
<tbody>
<tr>
<td>CHALLENGING ASSIGNMENTS</td>
<td>DEVELOPMENTAL RELATIONSHIPS</td>
<td>COURSEWORK AND TRAINING</td>
</tr>
<tr>
<td>• Increased scope of responsibility</td>
<td>• Communities of practice</td>
<td>• Classroom-based skills building</td>
</tr>
<tr>
<td>• New initiatives</td>
<td>• Networking</td>
<td>• Virtual classroom events</td>
</tr>
<tr>
<td>• Improving processes</td>
<td>• Coaching and mentoring</td>
<td>• Books, articles, whitepapers</td>
</tr>
<tr>
<td>• Horizontal moves</td>
<td>• Bosses and superiors</td>
<td>• Workshops and conferences</td>
</tr>
<tr>
<td>• Mistakes and ethical dilemmas</td>
<td>• Feedback</td>
<td></td>
</tr>
<tr>
<td>• Turnaround of underperforming units</td>
<td>• Working across cultures</td>
<td></td>
</tr>
</tbody>
</table>

90% of our learning is informal, coming from relationships and assignments.
### 7.2 Menu of Professional Development Options

Many of our most powerful learning experiences occur outside of classrooms and conferences. This chart is meant to spark creative thinking in deciding how best to foster employee development. There are many low- or no-cost options that can lead to long-lasting learning.

<table>
<thead>
<tr>
<th>Learn from the Work Itself</th>
<th>Learn from Colleagues</th>
<th>Learn through Teaching</th>
<th>Reflective Learning</th>
<th>Learn with Others</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Take on stretch assignments <em>(assignments at a higher level of complexity and skill)</em></td>
<td>7. Join or start a study group, journal club, or community of practice</td>
<td>13. Mentor others</td>
<td>18. Write case studies and articles</td>
<td>24. Join online discussion groups</td>
</tr>
<tr>
<td>2. Participate in a cross-division or office working group</td>
<td>8. Find a mentor for yourself</td>
<td>14. Read and report to your team on what you read</td>
<td>19. Solicit feedback</td>
<td>25. Take an online course or workshop</td>
</tr>
<tr>
<td>3. Develop or improve a process, procedure, or practice</td>
<td>9. Join a LinkedIn group at linkedin.com</td>
<td>15. Teach a workshop or course</td>
<td>20. Keep a journal</td>
<td>26. Attend workshops, seminars, and conferences</td>
</tr>
<tr>
<td>6. Help design and lead team retreats</td>
<td>12. Shadow a colleague for a day (or so)</td>
<td></td>
<td>23. Clarify your values</td>
<td>29. Take field trips with teammates to see how others do business</td>
</tr>
</tbody>
</table>
7.3 How to Plan for Employee Development

Professional development is ultimately the responsibility of the employee with the support and encouragement of their supervisor. This simple framework will give you the basis for a productive conversation with the employee about their learning. It balances employee interests with those of their team. It also reinforces the learning by challenging the employee to synthesize and share with others what they learned, even if it’s only the supervisor.

What does the employee want to learn?

What does the team need the employee to learn?

What are alternative ways to learn this? [See Tool 7.2]

How will the employee share or apply what they learn?

Employee wants + Team needs + Easy access + Plan for sharing = Sweet Spot of Learning
## 7.4 How to Evaluate Workshop and Conference Requests

Learning occurs in many forms. A common one necessitating supervisory action is whether or not to spend the organization’s money for an employee to attend a workshop or conference. These questions will help you fairly evaluate such requests.

<table>
<thead>
<tr>
<th>1. <strong>How strongly does the workshop or conference relate to the employees job?</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Does it relate to current responsibilities?</td>
</tr>
<tr>
<td>b. Does it relate to probable future responsibilities?</td>
</tr>
<tr>
<td>c. To what extent will this build on the employee’s strengths or deepen their understanding or add skills?</td>
</tr>
<tr>
<td>d. How strongly does this relate to the needs of the team or organization?</td>
</tr>
<tr>
<td>e. What is the employee’s track record for using or sharing learning from past workshops or conferences they’ve attended?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2. <strong>How much does it cost in terms of money and time away from work?</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Is there sufficient budget to cover the full costs--fees, travel, lodging, and food?</td>
</tr>
<tr>
<td>b. Can the employee’s absence be managed with minimal disruption?</td>
</tr>
<tr>
<td>c. Is it allowable and reasonable under applicable rules and regulations?</td>
</tr>
<tr>
<td>d. Are there no- or low-cost options?</td>
</tr>
<tr>
<td>e. Does this employee’s performance merit this level of investment?</td>
</tr>
</tbody>
</table>

| 3. **How will this be viewed by others?** |

| 4. **Has this employee already had this kind of opportunity?** |

| 5. **How easily can the learning be shared or applied?** |
## 7.5 Coach Using G-R-O-W-S

Coaching is a supervisor-led dialogue aimed at increasing an employee’s effectiveness. Follow this proven sequence in coaching an employee. This order of discussion also works for many meetings and retreats!

In the Options step below, you’ll notice that I suggest you come up with seven ideas. Why so many? Because the more creative and unexpected ideas often begin to emerge after the first, obvious solutions are expressed. The initial ideas may be preferred (the Will step), but they are best evaluated in the context of a broad view of what actions could help make meaningful progress towards the goal. §

<table>
<thead>
<tr>
<th>Goal</th>
<th>What do you want to have happen? What would success look like?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reality</td>
<td>What is going on now? What factors favor success? What obstacles might be encountered?</td>
</tr>
<tr>
<td>Options</td>
<td>Given your goal and the current reality, what options could you try? What choices do you have? [Generate at least seven options!]</td>
</tr>
<tr>
<td>Will</td>
<td>Which of the options will you pursue? When?</td>
</tr>
<tr>
<td>Support</td>
<td>What support or reinforcement will help you implement your decision?</td>
</tr>
</tbody>
</table>

§ See annotated bibliography.
Sample G-R-O-W-S Coaching Session

**Supervisor as Coach**

**Employee Being Coached**

**G**

What would you like to get better at?

I’d like to get better at project management.

**R**

What’s going on now for you related to your goal?

Project management interests me. It seems important in every field. I feel pretty clumsy right now when I lay out the steps to getting something done. I feel there are techniques that would make me more efficient and skillful.

**O**

What are different ways you could achieve your goal in light of the reality you just described? Let’s come up with at least seven ideas.

Well, I could

1. Attend a project management workshop
2. Read a book on project management
3. Take an online course,

You could also

4. Find a project management mentor
5. Attend a project planning meeting with a certified project manager (CPM)

Or, I could

6. Interview a few CPMS
7. Create a summary of what I learn and share it at a staff meeting

**W**

So, which of these ideas do you want to pursue?

I think I’ll get started with 2 and 4.

**S**

How can I support you in pursuing these ideas?

I could use your help in finding a mentor. And, let’s discuss what I’m learning during our regular check-in meetings.
### 7.7 Sample Stay Interview Questions

What can you do to help keep a good employee working for you? Conducting a *stay interview* will help you find out, and learn what might make a valued employee want to leave. Here is a sample format for inviting an employee to such an interview that includes the *stay questions* themselves. §

You are invited to attend...

The next step in your continued development.

You make a difference and I value your contributions.

Let’s discuss some things that are important to you and me:

*What will keep you here?*

*What might entice you away?*

*What is most energizing to you about your work?*

*Are we fully utilizing your talents?*

*What is inhibiting your success?*

*What can I do differently to best assist you?*

Please schedule a meeting with me within the next two weeks to discuss this and anything else you’d like to talk about.

§ See annotated bibliography.
7.8 Sample Mentoring Agreement

Mentoring is a deliberate learning strategy. When mentoring relationships fail, most often it is due to unstated or unclear expectations of the mentor, the mentee, or both. The sample Mentoring Agreement below is meant to foster successful mentoring relationships through clear expectations of one another. It should be completed by the mentor and mentee together. §

Mentoring Agreement

Employee_______________________ Mentor__________________________

We voluntarily enter into this mentoring relationship to benefit both us and our organization. We want this to be a rich and rewarding experience, with most of our time together spent on substantive development activities. To minimize administrative details, we have noted these features of our relationship:

A. Learning Objectives
   What the employee hopes to learn from the mentor.

B. Confidentiality
   All information shared by the employee relevant to the learning objectives will be held in confidence by the mentor unless mutually agreed otherwise.

C. Duration
   From _______________   To _______________
   Mentoring agreements are typically for a year or less.

D. Frequency of Meetings
   Depending on the nature of the learning objectives, meeting at least every three to four weeks is best for maintaining the momentum for learning.

E. Approximate amount of time to be invested by the Mentor
   Other than meeting with the mentee, what else will the Mentor expected to do to contribute the mentoring relationship.

F. Describe the specific role of the Mentor and Mentee
   MENTOR—Describe the specific ways in which the Mentor is expected to contribute to the mentee’s development.
   MENTEE—The Mentee is expected to engage fully in the mentoring relationship, complete any assignments, and arrive on time prepared for meetings.

G. Termination
   Either party may terminate the mentoring relationship at any time for any reason.

Signatures

§ See annotated bibliography.
7.9 Tips for Giving Positive, Powerful Feedback

When you deliver positive feedback, you help people to recognize what they are doing well, feel good about their performance, and develop their trust in you as a person who cares about their success. Positive feedback builds performance and relationships. Apply these tips so your feedback is positive and powerful. §

Be specific
It is acceptable to write a general comment such as "Great work!" but add why the work was great. The details make the message stick. Here are two examples:

**Subject:** Thanks, Larry!

Hey, Larry. You coming in early last night meant we could get the trucks loaded and out before the weather got too bad. As usual, your flexibility helped a lot. Much appreciated.

Mike

**Subject:** I liked "Vacationing at Home"

Tye, nice job on this month’s newsletter! I liked your tips on staycations, which covered both simple and elaborate things to do. You gave me several ideas I am going to suggest to Ellen and the kids.

I always enjoy reading the newsletter. I am sure our clients appreciate it too. Thanks for all you do!

Dana

Avoid using the word **but** right after a compliment
**But** is guaranteed to erase any positive feeling in the reader's mind. Compare these statements:

- I liked your rapid turnaround, but the mistakes were disappointing.
- I liked your rapid turnaround. It was wonderful to get the document back so fast.

When you do need to communicate both positive and constructive feedback, include the constructive part in a separate paragraph, or at least in a separate sentence. The previous "rapid turnaround" compliment might be followed with this statement: "A few mistakes need to be corrected."

Use the pronouns you and your when making positive comments
The pronouns give credit clearly to your reader. Compare these two sets of paired examples:

- The event-planning ideas were very creative and expertly carried out.
- Your event-planning ideas were very creative, and you carried them out expertly.

- This is the best proposal for cleanup services I have read.
- You wrote the best proposal for cleanup services I have read.

Include why the person's performance or traits are valuable
Perhaps the individual's contribution:

- Made your life easier.
- Made the department look good.
- Helped a student.
- Enhanced the organization’s reputation.
• Taught you a helpful lesson.
• Built goodwill.
• Increased efficiency.
• Created positive buzz.
• Saved time and money.
• Created beauty for everyone to share.
• Reduced accidents.
• Made everyone feel good.
• Ensured customer satisfaction.

When appropriate, share positive feedback with others beyond the recipient
If you communicate positive feedback in an email, for example, copy the person's supervisor on the message. If you write positive feedback for a peer on your team, copy the team on the message.

Normally copying others makes everyone feel good. However, in a potentially sensitive situation, ask yourself whether the copies could cause hard feelings. Imagine, for instance, that Joseph was named project leader, a role that Amy was disappointed not to get. Copying Amy on positive feedback to Joseph might make her feel worse.

If you find yourself saying "I have no time for this!"
Recognize that positive feedback takes just a moment. The secret to making time for feedback is to write it (or to make a note to yourself to write it) as soon as you notice the excellent work. You don't have to go into great detail. These two examples involve brief but powerful feedback:

Walking through the lunchroom, you speak to a new employee, who praises several aspects of the day's orientation program. On your smartphone, you send a text to the training designer: "Marty, I got a huge compliment on your onboarding program from a new employee. He loved the map challenge and pop quizzes. Nice work creating new evangelists!"

A couple of students tell you what a great class Dr. Smith, a new faculty member, is delivering—they tell you how energetic, well-organized and open Dr. Smith is. You grab your iPad and send Dr. Smith a message: "Dr. Smith: You've really impressed your students your enthusiasm and openness. Your energy and expertise are making a difference!"

Help yourself remember to give positive feedback
Add "Give positive, powerful feedback" to your planner or calendar as a daily activity.

Whether you are a CEO, supervisor, manager, individual contributor, and entrepreneur, or consultant, share positive feedback every day. Look for opportunities to recognize people's contributions to your success and contentment. Your positive feedback will strengthen your business relationships, making them more supportive, rewarding, and enjoyable. And it will strengthen performance!

§ See annotated bibliography.
Chapter 8
PERFORMANCE REVIEWS

8.1 The Secret to Successful Performance Reviews
8.2 The Three Core Questions of Performance Reviews
8.3 Performance Review Steps
8.4 How to Build on Strengths
8.5 How to Mitigate Weaknesses
8.6 How to Have a Productive Performance Review Meeting

Lack of feedback is the number one reason for performance problems.

Leigh Branham
Author
I designed my first performance review form in 1974. Over the years many other forms have followed. What I’ve learned is that the form may facilitate or complicate communication, but in the end it is the commitment of the supervisor to the employee’s development and success that matters most. Successful performance evaluations are about dialogue between two people with the aim of taking stock and planning for the future.

It’s not about the form.

It’s about the supervisor’s commitment.
In the end, performance reviews come down to helping answer three questions on the minds of employees. Spend more time focusing on future goals and learning than discussing the past.

- **How am I doing?**
- **What do I need to accomplish?**
- **What do I need to learn?**
### 8.3 Performance Review Steps

Here are the basic steps for completing a performance review. Writing and finalizing it is the supervisor’s responsibility. It is his or her synthesis of their experience of the employee’s performance over the past year and the employee’s self-assessment combined with imagining future accomplishments and learning.

<table>
<thead>
<tr>
<th>1. Make an appointment</th>
<th>Nothing like a deadline to help get things done! Let the employee know when their self-assessment is due, and in what form.</th>
</tr>
</thead>
</table>
| 2. Reflect             | **Think about:**  
|                        | 1. The employee’s strengths and how to build on them (see Tool 8.4).  
|                        | 2. The employee’s weaknesses and how to mitigate them (see Tool 8.5).  
|                        | 3. The challenges the employee faced and how they dealt with them.  
|                        | 4. How effectively the employee works with others.  
|                        | 5. How the employee could increase their effectiveness.  
|                        | 6. What would be beneficial for the employee to learn.  
|                        | 7. Review the employee’s self-assessment. |
| 3. Draft the review    | - List the employee's accomplishments and strengths.  
|                        | - Describe any material concerns, that is, those affecting the employee's success and those that impact others negatively. Describe the desired behavior, too!  
|                        | - List two or three goals for the coming year.  
|                        | - List one or two professional development priorities.  
|                        | - Give the employee the review the day before or the morning of the review. |
| 4. Meet                | *See Tool 8.6* |
| 5. Finalize the review | - Revise the review based on the discussion.  
|                        | - Send a copy to human resources and a copy to the employee.  
|                        | - Set appointments to follow-up as agreed. |
8.4 How to Build on Strengths

Helping an employee identify and build on their strengths is the surest way to fully tap their talent and maximize their contribution to their team’s and their organization’s success. Follow this sequence of questions from left to right. It will help you and the employee identify specific ways to use the employee’s strengths more fully and learning objectives to deepen their strengths even further.

You can find a fun, and free, test revealing an individual’s strengths at the VIA Institute of Character.
8.5 How to Mitigate Weaknesses

Here are a few fresh ideas for helping mitigate areas of weakness in an employee’s performance.§

- Can the employee stop doing this activity?
  - Is this activity central to the employee's responsibilities?
  - If not, can the activity be stopped or shifted fairly to another employee?
  - If it is, is it feasible to reduce the amount of time the employee spends on it?

- Can the employee partner with others who are strong in this activity?
  - Who really likes to do this activity?
  - Can they teach the employee a trick or technique for how to do this more effectively?
  - Can they trade activities?

- Can the employee's job be modified to use more of their strengths?
  - Which of the employee's strengths can they use to get the job done more easily?
  - What room is there to redefine the employee's role to use their strengths more often?

- How can the weakness be reimagined to make it more fun and less onerous?
  - What connection can be made between the activity at which the employee is weak to something that interests them?
  - How can this activity be seen through the lens of the employee's strengths?

§ See annotated bibliography.
### 8.6 How to Have a Productive Performance Review Meeting

The following sequence is the genius of colleagues participating in a workshop on performance reviews. Following this sequence enables balances the voice of the supervisor with that of the employee. Doing so assures a productive meeting regardless of the form that is used.

Jennifer Berger and Keith Johnston write in *Simple Habits for Complex Times*, “The mindset of the person giving feedback has the greatest impact on what comes out of their mouth...There’s a sense that the feedback givers have access to something like the truth and also to the solution. But really you have only half the data you need (at most), because you know only what you know and you’ve seen only what you’ve seen... In short, the question we want you to carry [into the performance review meeting] is this: What do I have to learn here?”

<table>
<thead>
<tr>
<th>Welcome</th>
<th>How did the year go?</th>
<th>What have you learned?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Set goals and learning objectives together.</td>
<td>Do you have questions about entries we haven’t discussed yet?</td>
<td>Supervisor raises specific topics</td>
</tr>
<tr>
<td>How can I help?</td>
<td>Specify-- &gt;When to expect the revised review &gt;Dates for check-in meetings</td>
<td>Thank you</td>
</tr>
</tbody>
</table>
Strong relationships, careers, organizations and communities all draw from the same source of power—the ability to talk openly about high stakes, emotional, controversial topics.

Kerry Patterson
“Crucial Conversations”
9.1 Basic Principles

Fairness, good faith, and timeliness are fundamental to addressing employee performance problems. These three principles apply to all interactions between supervisors and employees over performance problems, whether it is performance counseling or formal discipline.

- **Timeliness**
  - Raise concerns with the employee as soon as feasible after an occurrence.

- **Fairness**
  - Clearly inform an employee of deficiencies in their performance and give the employee a chance to correct them.

- **Good Faith**
  - Give an employee a fair chance to respond to concerns about their performance. You do not have to agree with their point of view; you do need to seek it out.
9.2 Ladder of Inference

The *Ladder of Inference* is included here to draw attention to the way each of us decides what we will focus on when assessing the behavior of others. In this version, the “rungs” of the ladder are correlated with the Basic Principles described in Tool 9.1.

We begin by observing what’s happening around us. From this sea of activity we perceive the behavior of others. We interpret that behavior through the lens of our own experience. We then evaluate the behavior—good, bad, something else—and act on that conclusion.

Staying lower longer on the ladder leads to conclusions and actions that are more fair and informed. §

§See annotated bibliography
9.3 The Four Steps to Address Performance Problems

For details on each step, see Tool 9.4.
### 9.4 The Four Steps in Detail

Most discussions between supervisors and employees about performance problems are best described as performance counseling. Most often such discussions succeed in alerting the employee to the seriousness of the concern and the employee is able to get their performance back on course.

Following these *four* steps will help assure your employee is informed of your concerns and has a clear sense of the steps they need to take in addressing them.

#### Plan
- Get help if you need it *(Tool 9.5)*
- Analyze the problem *(Tool 9.6)*
- Clarify what you want for yourself, others, and the relationship *(Tool 9.7)*
- Anticipate the employee's point of view *(Tool 9.8)*

#### Meet
- Be specific about the problem, the desired performance, and the consequences of improving or not improving. *(Tool 9.9)*
- Maintain your composure. *(Tool 9.10)*
- Listen actively and patiently to the employee's point of view. *(Chapter 2)*

#### Reflect & Decide
- What did the employee say?
- How does what they say influence your expectations for changes in their performance? *(Tool 9.11)*

#### Follow-up
- Send an email summarizing the conclusions of your meeting and the expectations for improved performance. Set follow-up appointments, as needed. *(Tool 9.12)*
- Document the meeting for future reference. *(Tool 9.13)*
### 9.5 Sources of Help

Dealing effectively with performance problems is challenging, time-consuming, and emotionally taxing. Don’t hesitate to ask for help in evaluating the current performance, describing the desired performance, and preparing for the conversation you need to have.

<table>
<thead>
<tr>
<th>Source</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Your boss</strong></td>
<td>In addition to letting your boss know your concerns, he or she can be a tremendous sounding board for how best to deal with the performance problem and help the employee get back on track.</td>
</tr>
<tr>
<td><strong>HR</strong></td>
<td>Among the most important of HR’s many jobs is helping supervisors deal constructively with performance problems. Use their experience and expertise—it’s what they’re paid to do.</td>
</tr>
<tr>
<td><strong>Trusted Colleagues</strong></td>
<td>Like your boss, a trusted colleague can help you gain perspective on the performance issues you want to tackle.</td>
</tr>
<tr>
<td><strong>Friends &amp; Family</strong></td>
<td>Friends and family members have expertise and care the most about your success. Don’t just vent to them, ask for their advice. Use them to practice the conversation you want to have.</td>
</tr>
<tr>
<td><strong>Employee Assistance Program</strong></td>
<td>Employee assistance programs often have unlimited support for supervisors and managers. Use them especially when dealing with issues where emotions are highly charged.</td>
</tr>
<tr>
<td><strong>Internet</strong></td>
<td>The websites of professional associations as well as general sites like About.com often provide practical tips and tools on dealing with a variety of management issues.</td>
</tr>
<tr>
<td><strong>Legal Counsel</strong></td>
<td>Attorneys help solve problems. If you have access to an attorney, their experience and expertise can be invaluable in giving you confidence in how best to address a challenging performance problem.</td>
</tr>
<tr>
<td><strong>Internal Organization Development Consultant or Ombudsman</strong></td>
<td>Larger organizations often have in-house experts skilled at facilitating conflict resolution. They can be especially useful in helping mediate or facilitate conversations involving conflict between two people.</td>
</tr>
</tbody>
</table>
Step 1a: Plan—Analyzing Performance Problems

The first step in successfully helping an employee correct their performance is to plan the conversation. And the first step in planning is analyzing the true nature of the performance problem.

This framework has proven itself time and again in sorting through often emotional and frustrating situations to identify exactly what is going on and what needs to change. You will see that it follows closely Tool 9.2, which introduces the Ladder of Inference. That is, it begins with observing behavior, then moves to interpretation and evaluation, and then to action.

While this analytical sequence has been around for years—I first encountered it in 1974—the specific format below I learned from Mike Buschmohle of Applause Associates.

<table>
<thead>
<tr>
<th><strong>SEE</strong></th>
<th><strong>FEEL</strong></th>
<th><strong>SEEK</strong></th>
<th><strong>CONSEQUENCES</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>What do you see the employee doing that concerns you?</td>
<td>How do you feel about what you see?</td>
<td>What specifically do you want the employee to do differently in the future?</td>
<td>What happens if the employee changes or fails to change their behavior?</td>
</tr>
<tr>
<td>Describe the behavior you observe as if it were seen through a video camera.</td>
<td>Describe the impact of the behavior on yourself and others; decide if the problem is worth solving.</td>
<td>Describe the desired behavior with the same level of specificity with which you described the problem.</td>
<td>Describe what the employee gains by correcting their behavior and what they lose if they don’t.</td>
</tr>
</tbody>
</table>

**WHAT?** | **SO WHAT?** | **NOW WHAT?** | **WHAT THEN?**
9.7  Step 1b: Plan—Clarify Your Concerns and Approach

Success in sharing concerns with an employee begins with your own preparation. Reflecting on these questions will help point you to the best way of communicating a concern to the employee so that the message is clear and the relationship is strengthened.

Take a moment to write down your answers to these questions as you consider the concerns you want to raise with the employee and how you want to approach the conversation.

This is an especially helpful tool where emotions are strong and opinions differ, such as issues involving performance. I have used this tool on many occasions, for example, in working through a change of job responsibilities when I worked for a previous employer. §

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§See annotated bibliography

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Reflect

- What do I want for myself?
- What do I want for others (including the employee)?
- What do I want for the relationship?
- How would I behave if I really wanted those results?
### Example of Tool 9.7 in Practice

The following example shows the kind of reflection that is helpful for a supervisor when preparing for what may be a difficult conversation about another person’s performance.

<table>
<thead>
<tr>
<th>What do I want for myself?</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Maintain my composure</td>
</tr>
<tr>
<td>• To be heard</td>
</tr>
<tr>
<td>• To get the employee's commitment on the need for improvement</td>
</tr>
<tr>
<td>• To be flexible on the how</td>
</tr>
<tr>
<td>• Balance the message of concern with the message of support</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>What do I want for others?</th>
</tr>
</thead>
<tbody>
<tr>
<td>• A way forward that’s fair</td>
</tr>
<tr>
<td>• To be heard</td>
</tr>
<tr>
<td>• Clarity and support</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>What do I want for the relationship?</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Keep it professional</td>
</tr>
<tr>
<td>• Lay the foundation for future collaboration</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>How would I behave if I really wanted those results?</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Stay focused on the performance issue</td>
</tr>
<tr>
<td>• Ask clarifying questions</td>
</tr>
<tr>
<td>• Allow the employee time to express their point of view, as well as their emotions</td>
</tr>
<tr>
<td>• Ask &quot;What if...?&quot;</td>
</tr>
<tr>
<td>• Don’t rush</td>
</tr>
<tr>
<td>• Explain</td>
</tr>
<tr>
<td>• Reinforce that the employee is valued</td>
</tr>
<tr>
<td>• Clarify at the end whatever we agree upon</td>
</tr>
<tr>
<td>• Express support for the employee</td>
</tr>
</tbody>
</table>
9.9 Step 1c: Plan—Consider the Employee’s Point of View

Conversations with employees about performance problems typically involve some combination of the employee listening intently, asking clarifying questions, and, often, defending their actions in some way.

Factor into your planning what you anticipate the employee will have to say on their own behalf. Which of these common defenses is the employee most likely to use? How legitimate is that perspective? How will you respond if one of these issues is raised?

- Unclear direction
- You're wrong!
- No feedback
- Differing standards for employees
- Inadequate resources
- Don't know how
- No chance to do it right
9.10 Step 2a: Meet—How to Share Concerns

Listening well plays a central role in sharing your concerns.

In *The 7 Habits of Highly Effective People*, author Steven Covey captures this notion well when he writes, “Maturity is the balance between courage and consideration. Seeking to understand requires consideration; seeking to be understood takes courage.”

Either approach below achieves the same objectives—clearly making the employee aware of concerns and hearing their perspective. “A” begins with the supervisor expressing his concern first and the reasons for them.

“B” reverses the order, with the supervisor beginning by asking for the employee’s point of view, followed by the supervisor expressing their point of view. §

§See annotated bibliography
9.11 Step 2b: Meet—Personal Presence

Discussions about performance concerns are difficult.
Supervisors must manage themselves and their emotions when meeting with the employee.

- Show respect
- Be specific
- Be patient
- Listen
- Stay calm
9.12 Step 2c: How to Deal with Employee Emotions

Lack of confidence in dealing with employee emotions is one of the major impediments to addressing performance problems.

The list below provides specific ideas for dealing constructively with emotional reactions by employees to feedback or expressions of concerns with their performance.

- Separate issues from emotions.
- Empathize.
- Choose the right language - do not attack.
- Acknowledge the emotion, e.g. "I notice you are very upset. Still, we need to address this issue."
- Choose your environment and allow for intense emotions to subside.
- Listen and be patient.
- Know when to back off or exit the situation.
- Ask the employee if they need some time.
- Have tissues handy.
- Allow for silence.
- Schedule a follow-up meeting.
- Clarify your message: "I'm not saying you're doing a terrible job. I am saying you need to do a better job meeting deadlines."
- Apologize, if appropriate.
- Practice with a neutral party beforehand. By practicing you may be able to anticipate emotional responses or choose words that are more emotionally neutral.
It’s important to take the time to consider what the employee has said and then decide what you will do. Have their comments changed in any way the course of action you feel is most appropriate given the performance concern?

Give yourself *TIME TO THINK* by

- **PAUSING** during the meeting to reflect on what you heard;
- **TAKING A BREAK** and reconvening later
- **SCHEDULING** a follow-up meeting
Following up with the employee is a *three-step* process:

1. Complete a record of the meeting using *Tool 9.15*.
2. Document what you have concluded and the expectations for future performance in an email to the employee.
3. Make whatever appointments are necessary in light of what you have concluded. Often more frequent meetings with the employee are needed for a period of time to provide feedback and reinforce progress.
### Employee Performance Meeting Record

<table>
<thead>
<tr>
<th>Item</th>
</tr>
</thead>
<tbody>
<tr>
<td>Names of Individuals Present</td>
</tr>
<tr>
<td>Date, Time, and Location of Meeting</td>
</tr>
<tr>
<td>Overall Nature of the Problem (as described to the employee)</td>
</tr>
<tr>
<td>Outline of Main Points of the Conversation (including employee’s response)</td>
</tr>
<tr>
<td>Consequences Communicated to the Employee</td>
</tr>
<tr>
<td>Commitment made by the Employee</td>
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<tr>
<td>Follow-up Plan</td>
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Chapter 10
MANAGING CHANGE & TRANSITION

10.1 Assessing the Potential for Successful Change
10.2 The Three Phases of Transitions
10.3 The Three Questions of Transitions
10.4 The Transition Curve
10.5 Change Management Guidelines
10.6 Planning Questions for Successful Change Initiatives

Changes of any sort succeed or fail on the basis of whether the people affected do things differently.

William Bridges
Author & Consultant
10.1 Assessing the Potential for Successful Change

“No person, not even an expert, unfreezes [changes] another. We move in our own way at our own pace, regardless of techniques used. We change as we have face-to-face contact with others and receive new information. We change when we listen and respond in new ways, hearing ourselves say things we never said before. We change when we think out loud with those whose actions affect us.”

“[In planning change,] I have moved away from flagging discrepancies between words and deeds to testing people’s willingness to take on important tasks together.

The assessment I recommend [below] is to find out whether the season is right for action.” §

Four Practical Guidelines for Planning Change

1. Assess the potential for action

   Committed leadership + A compelling opportunity + Some energized people = Potential for action

2. Get the whole system in the room

   “When people meet across levels and lines of status, function, gender, race, and hierarchy, treating problems as systemic rather than discrete, wonderful (and unpredictable) things happen.”*

3. Focus on the future

4. Structure tasks that people can do themselves

§See annotated bibliography
### 10.2 The Three Phases of Transitions

“It isn’t the changes that do you in, it’s the transitions. Change is situational: the move to a new site, the retirement of the founder, the reorganization of roles on a team, the revisions to the pension plan. Transition, on the other hand, is psychological; a three-phase process people go through as they internalize and come to terms with the details of the new situation that the change brings about.”

<table>
<thead>
<tr>
<th>Endings</th>
<th>Neutral Zone</th>
<th>New Beginnings</th>
</tr>
</thead>
<tbody>
<tr>
<td>A time of letting go</td>
<td>“The Wilderness”</td>
<td>The 4 “P”s</td>
</tr>
</tbody>
</table>
| a. You have to end before you begin | a. See as a difficult but creative time, a time for sorting out | PURPOSE  
Explain the purpose behind the outcome being sought. Why are we doing this? |
| b. Expect over-reaction | b. Consider what no longer serves us well | PICTURE  
Paint a picture of how the outcome will look and feel. What are people going to experience that is going to be different? |
| c. Acknowledge losses openly and sympathetically | c. Normalize the neutral zone | PLAN  
Lay out a step-by-step plan for phasing in the outcome. People need a clear idea of how they can get where they need to go. What will we do on Monday? |
| d. Identify what is changing, what is remaining the same | d. Redefine it; seek new metaphors | PART TO PLAY  
Give each person a part to play in both the plan and the outcome. What is the tangible way I’m to contribute and participate in the transition process and outcome? |
| e. Expect and accept grieving: Anger, sadness, anxiety, confusion, denial | e. Create temporary systems | |
| f. May experience some excitement | f. Strengthen connections within the group | |
| g. Compensate for the losses in some way | g. Use a transition monitoring team | |
| h. Mark the endings | h. Use the neutral zone creatively:  
- Experiment  
- Train on discovery and innovation  
- Embrace losses, setbacks, or disadvantages as entry points for new solutions  
- Brainstorm new answers to old problems  
- Plan retreats, surveys and suggestion campaigns  
- Make time to take stock and question the usual | |
| i. Treat the past with respect | | |
| j. Give people information, and do it again and again | | |
| k. Show how endings ensure the continuity of what really matters | | |

§See annotated bibliography
### The Three Questions of Transitions

“Getting ready to talk to the executive director of a large non-profit organization the other day, I found myself jotting down three questions that I wanted to ask her. I realized that I had been using these questions with clients, in one form or another, for some time now but had never written them out and reflected upon why I was using them. When I did so, I realized how central they are to my practice. Here they are.”

1. **What is changing?**
   
   It still surprises me how often organizations undertake changes that no one can describe very clearly. Be sure that the answer ties the change to whatever situation it is that makes the change important. The way we often say that to our clients is, "Sell the problem before you try to sell the solution." In other words, don't try to make a change to meet a challenge, solve a problem, or seize an opportunity unless you have already established the challenge, the problem, or the opportunity in people's minds.

2. **What will actually be different because of the change?**
   
   Explaining the *why* of the change is essential, but it is not enough. I go into organizations where a change initiative is well underway, and I ask what will be *different* when the change is done. **Driving to make those differences clear should be an important priority on the change planners’ list of things to do.**

3. **Who is going to lose what?**
   
   The previous two questions, as important as they are, concern the *change*—the shift in the situation. The *transition*—the psychological reorientation that the people must go through to make the change work—does not start with a new situation. It starts when the affected people let go of their old situation. Endings come first.

   Some of our clients resist asking that question. "That's negative," they say. "We want to be positive about this change."

   [But] the best way to get people through transition is to *affirm their experience* and to help them to deal with it.

   It is not a question of agreeing with people or being nice to them. It is simply a question of understanding how the world looks to them and using that as the starting point in your dealings with them.

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§See annotated bibliography
There are many variations of the transition curve shown here. Each depict in some way the emotional stages employees commonly go through as they move from first learning of a change to embracing it.

This version is adapted from the work of Cynthia Scott and Dennis Jaffee. In many ways, this tool reinforces the wisdom of following William Bridges’ transition model (Tool 9.2). Doing so respects the emotional reality of change while helping people make the transition as quickly and fully as possible.
These guidelines provide a logical sequence when considering how best to approach a change initiative.

Define the Issue
- Define and frame the issue prompting the need to change
- Explain why the change is needed
- Paint a picture of the better tomorrow that will result from the change

Plan/Involve
- Develop an initial plan and timeline for implementing the change
- To the extent possible, involve the people who will be affected by the change in the planning process
- Be clear about who and how decisions will be made

Implement
- Explain again why the change is needed
- Be clear about what is changing and when
- Mark the ending in some way
- Honor the past

Allow Time
- Give people time to ask questions and adjust
- Accept inefficiencies and struggles at the beginning
- Provide channels for two-way communication
- Monitor progress

Evaluate
- Evaluate the change—Did it work as intended?
  - No? Modify as needed
  - Yes? Can it be improved upon?
  - What lessons did you learn?
### 10.6 Planning Questions for Successful Change Initiatives

This list incorporates William Bridge’s wisdom from Tools 10.2 and 10.3, along with other useful planning prompts.

- What is the issue prompting the need for change?
- Who are the stakeholders and how will you include them in planning and implementation activities?
- What are the external factors and time constraints you need to consider?
- What exactly is changing and what do we expect employees to do differently as a result?
- What is the picture of the better tomorrow that will result from this change?
- Who will lose what, and what can we do to mitigate the loss, if anything?
- What part do we want people to play in implementing the change and making it operational?
- Are there old scars or unresolved issues that will need to be considered?
- How will you communicate the urgency of the change and frame the challenge clearly?
- How will you mark the ending?
- How will you normalize the “neutral zone”—the period of confusion between the ending and the new beginning?
- How will employees feed back any concerns with the change and its implementation?
- To what extent can you count on leadership for support in the face of challenges arising during implementation?
Many companies pride themselves on having few meetings. [Apple CEO Steve] Jobs had many. He insisted that the people around the table hash out issues from various vantages and the perspectives of different departments.

*From Walter Isaacson’s biography, Steve Jobs*
Some years ago I came across this sign posted in a conference room at Intel’s offices in Hillsboro, Oregon. It makes clear what is expected of a meeting organizer: Don’t waste people’s time. Likewise, it’s message to participants is equally clear:

You are responsible for the productive use of their time together.

Ask Yourself

Is this an effective meeting?

Do you know the purpose of the meeting?

Do you have an agenda?

Do you know your role and are you prepared?

Do you know how and to whom the results will be communicated?

Unless you know the meeting objective, agenda, and your role, just say no. Each of us is responsible for spending our time effectively.
11.2 Sample Meeting Agenda

According to a study conducted by the Annenberg School of Communications at the University of Southern California, the #1 reason why most meetings fail is the absence of a well-prepared agenda. An agenda is much more than just a list of topics that will be covered. Properly constructed, it will help set attendees’ expectations for what will be accomplished, provide a reliable road map from start to finish, and ensure that all participants understand the roles they are to play along the way. Send the agenda out a day or two before the meeting.

Making Meetings Work

<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Room</th>
</tr>
</thead>
</table>

**Meeting Objective:** To increase individual skills in planning and leading meetings

**Desired Outcomes**
- Individual concerns surfaced and addressed
- Characteristics of and strategies to design effective meetings identified
- Useful tools and techniques demonstrated and practiced.

A good agenda will have clear objectives and outcomes

**Agenda**

1. What questions do you have about meeting design and facilitation?

2. What are the characteristics of an effective meeting? What can we do to have more effective meetings?

3. How do you plan and design an effective meeting?

4. How can difficult behaviors be managed during a meeting?

5. What can you do to improve your meeting management?

Using questions invites participation. Doing so gets people thinking and alerts them to their role in the meeting.
# A Few Fun Meeting Ground Rules

These norms for meeting behavior were developed by a group of elementary school students in grades second through fifth. We elders would be wise to follow their guidance:

- Sit up straight.
- Don’t squirm around.
- Look at who’s talking.
- Take turns talking. Don’t interrupt.
- Don’t get involved in a side conversation.
- Don’t beg to be called on. Everybody is important.
- Don’t stare into space.
- Focus your attention. Daydream later!
- Don’t make sound effects.
- Don’t put on a show. Don’t be the clown.
- Don’t play with other people’s bodies or clothes.
- You’ll distract their attention from the meeting.
- Don’t bring stuff to play with.
- Don’t yawn or act bored. Be patient.
- Don’t wander. It’s not the time to get a drink, or to explore the room.
- Get ready before the meeting.
- Go to the bathroom, get your drink and put your stuff away.
- Be on time and stay the whole time.
- Be an active listener!
- Participate in the discussion.
- Don’t make fun when other people try.
- Don’t be embarrassed if you make a mistake.
- Do your best and help others do their best.
- Remember: Be serious, but have fun.
- Don’t call people names.
- Don’t make funny faces.
- Don’t be arrogant.
- Don’t laugh at people.
- Be courteous.

*Compliments of Spruce Street School, Seattle, WA.*

November 15, 1996
### 11.4 Consensus Decision Guidelines

*Consensus* is a decision you can live with following full participation. When your group reaches the point where each person can say, “Well, even though it may not be exactly what I want, at least I can live with the decision and support it,” then the group has reached consensus. This doesn’t mean that all of the group must completely agree. But all of the group must at least minimally agree.

Consequently, any one of you can block a decision. This is precisely why consensus decisions are both more difficult and more effective than other group decision methods, such as voting. It forces the group to consider all aspects of the problem and objections to possible courses of action. Treat differences of opinion as a way of:

1) Gathering additional information  
2) Clarifying issues, and  
3) Forcing the group to seek better alternatives

#### Guidelines

1. Try to get underlying assumptions regarding the situation out into the open where they can be discussed.  
2. Listen and pay attention to what others have to say. This is the most distinguishing characteristic of successful teams.  
3. Be cautious of early, quick, easy agreements and compromises. They are often based on erroneous assumptions that need to be challenged.  
4. Avoid competing and arguing. In this situation either the group wins or no one wins.  
5. Do not vote. It will split the group into “winners” and “losers”; it encourages “either-or” thinking (when there may be other ways) and it fosters argument rather than rational discussion.  
6. The team needs all the information it can get so encourage others, particularly the quieter ones, to offer their ideas.  
7. If you find you’re repeating yourselves, you can test for consensus using the “Fist-to-Five” method. Fist-to-Five is accomplished by raising hands as in voting, with the number of fingers raised indicating the level of agreement.

- **A fist** means, “I vote NO.” or in consensus it means, “I object and will block consensus (often on moral grounds).”  
- **1 finger** means, “I’ll just barely go along.” Or, “I don’t like this but it’s not quite a no.” or, “I think there is lots more work to do on this proposal.” In consensus this indicates standing aside, or not being in agreement but not blocking the consensus.  
- **2 fingers** mean “I don’t much like this but I’ll go along.”  
- **3 fingers** mean, “I’m in the middle somewhere. Like some of it, but not all.”  
- **4 fingers** mean, “This is fine.”  
- **5 fingers** mean, “I like this a lot, I think it’s the best possible decision.”

A low quality vote (lots of 1s, 2s, 3s) means more discussion is needed. A handy PDF with more about Fist-to-Five can be found [here](#).
### 11.5 Tips for Handling Difficult Behaviors in a Meeting

There are many ways a meeting can be derailed. Here are a few ideas for how to stay on track despite the challenges individual participants may present.

<table>
<thead>
<tr>
<th>BEHAVIOR</th>
<th>DESCRIPTION</th>
<th>FACILITATION RESPONSE</th>
</tr>
</thead>
</table>
| Silent Partner| • Quiet  
• Keeps to themselves  
• Unaccustomed to large groups                                                 | • Call on the person directly  
• Go around the room  
• Use written brainstorming  
• Use ground rules that call for everyone’s participation  
• Use pairs or triads  
• Seat between two strong contributors |
| Eager Helper  | • Wants to help – probably for recognition                                   | • Give specific job to do (lights, hanging charts, etc.)  
• Don’t over-use  
• Thank them genuinely |
| Chronic Complainer | • Usually alone in reason for complaint  
• Uses complaining to gain attention                                             | • Coaching  
• “Tell us more”  
• Test for agreement among the group  
• “We’ve heard the negative solution, now let’s hear the arguments in favor.”  
• Structure a debate  
• If irrelevant to meeting, ask to discuss outside the group  
• If relevant, ask to discuss at a break or after the meeting. |
| Buzzer        | • Whispers and buzzes to person seated close by                               | • Call him or her on it  
• Ask a question  
• Bring back into circle  
• Put hand on shoulder – gentle touch  
• “Do you need something clarified”  
• “Please speak up or wait until others have a chance to join the conversation” |
| Heckler       | • Heckles, i.e., “This is so stupid!”                                        | • Sit next to him  
• Put spotlight on heckler  
• Ask others in the group, “How do the rest of you feel about what ______ just said?”  
• “Let me hear some opinions similar to or different from the one _______ just gave.” |
| Data Miser    | • Keeps good info to self  
• Self-conscious about appearing too smart or too good to peers  
• Fears being hung with more work                                                | • Ask them for their opinion or experience rather than put them on the spot for information. |
<table>
<thead>
<tr>
<th>Tangent Maker</th>
<th>Immovable Object (Dominator)</th>
<th>The Inarticulate</th>
<th>Showboat</th>
</tr>
</thead>
</table>
| • Gets group off the subject  
• Can be creative or exuberant person | • "I’d rather be right than successful"  
• Paraphrase to confirm understanding  
• Ask Why or Why not questions to get at underlying hopes or fears behind the person’s position.  
• Test other ideas against the Immovable Objects expressed hopes or fears  
• Say, “I respect your right to a strong opinion. Under the circumstances, I’ll have to ask the group to go along with what’s been decided. I’ll take responsibility for it and will double-check it just to make sure. Now, let’s get on with the next order of business.” | • Unable to state ideas clearly  
• Restate and check  
• Ask if someone in the group could build on the ideas offered. | • Lots of clowning and irrelevant patter  
• Don’t invite or encourage  
• Thank the person for the amusing contribution, then get back on track  
• Talk to the person privately  
• Give them a role  
• “Interesting, _______, what do the rest of you think about what _______ just said (or suggested)?” |
11.6 Summary: What You Can Do to Increase the Effectiveness of Your Meetings

Thus summation of research on meeting effectiveness is provided courtesy of the consulting firm Scontrino-Powell.

In most organizations today meetings occupy a significant amount of space on the daily calendar.

The authors of this research report studied meetings in a variety of organizations to determine which factors resulted in meetings that were viewed as effective and a good use of time.

They found that successful meetings could be identified by the following characteristics:

1. *They had a written agenda distributed in advance.*

2. *The agenda was reviewed at the start of the meeting.*

3. *Meeting participants were involved during the meeting.*

4. *The meeting facilities were viewed as appropriate, i.e., good table arrangement, good lighting and heating, lack of noisy distractions.*

5. *All the items on the agenda were completed.*

It is interesting to note that neither the number of participants at the meeting nor the length of the meeting impacted the perceived effectiveness of the meeting.
## § Annotated Bibliography

<table>
<thead>
<tr>
<th>Tool</th>
<th>Reference</th>
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</table>
I first encountered Daniel Pink’s work at a conference in 2010. It was at this conference that I learned of the importance of Autonomy, Mastery, and Purpose as motivating factors for knowledge workers. The “Heart Chart” followed shortly thereafter. |
Even 20 years on this remains an awesome compendium of insights, tools, and models aimed at creating learning organizations. Tool 3.1 *How to Listen* is taken directly from the Fieldbook. You can find much more on the Ladder of Inference [Tool 4.2] in Chapter 33 of this book. |
A fun book and a quick read loaded with smart and creative ways to enjoy your work more fully. |
Meant for managers in preparing for new leadership roles, Dr. Watkins book is the best I’ve seen on helping new employees succeed. |
Though the Delegation Worksheet doesn’t appear in Ms. William’s description of the delegation process, it was this short book that inspired it. |
The GROW coaching model was originally conceived by John Whitmore in this book. It has since become the tool I use more than any other in my day-to-day work. The “Support” step was the inspiration of a friend and colleague in India—Kishore Bajaj. He felt Whitmore’s original “GROW” model was incomplete without encouragement and support. |
<table>
<thead>
<tr>
<th>Page</th>
<th>Title</th>
<th>Author(s)</th>
<th>Edition/Year</th>
<th>Notes</th>
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<tbody>
<tr>
<td>7.8</td>
<td>Beyond the Myths and Magic of Mentoring</td>
<td>Murray, Margo.</td>
<td>San Francisco: Jossey-Bass, 2001.</td>
<td>There seem to be hundreds of books on mentoring. I found this one eminently readable and practical.</td>
</tr>
<tr>
<td>9.7, 9.10</td>
<td>Crucial Conversations: Tools for Talking When Stakes Are High</td>
<td>Patterson, Kerry.</td>
<td>New York: McGraw-Hill, 2002.</td>
<td>Crucial Conversations provides invaluable guidance on how to have difficult conversations when “opinions differ, stakes are high, and emotions are strong.” Nearly every week I use the reflections questions of Tool 9.7 as I prepare for conversations. The sequence of having a difficult conversation about performance in Tool 4.10 was likewise inspired by this book. The reverse of it came from a workshop I did with colleagues from many countries where the more Western approach recommended by Dr. Patterson was seen as too direct.</td>
</tr>
<tr>
<td>10.2, 10.3</td>
<td>Managing Transitions: Making the Most of Change</td>
<td>Bridges, William.</td>
<td>Reading, Mass.: Addison-Wesley, 1991.</td>
<td>Dr. Bridges’ compassion and clear-thinking have been major influences on my internal consulting practice and training.</td>
</tr>
</tbody>
</table>
ACKNOWLEDGEMENTS

Over the years I’ve received much encouragement and support from colleagues, friends, and family. Special thanks to Alina Solano, Executive Assistant to the Chancellor of the University of Washington Tacoma, for her enthusiasm for the Toolbox. Without her generous support the Fifth Edition would not have been possible. Alissa Dunloy, former HR Manager of the University of Washington’s International Training & Education Center for Health (I-TECH), provided much of the content in Chapter 4—Effective Hiring. Many have edited earlier editions—former and current colleagues, as well as my wife, Gretchen. To each of them I owe a debt for the improved clarity resulting from their efforts.

The tools themselves come from a range of sources: The need to explain how to deal with a performance problem just as a country director was departing for Nicaragua; books I read and needed to summarize to make their insights accessible to others; comments from staff improving a particular tool; consultants I’ve worked with along the way; bosses, both good and bad, from whom I learned. The tools have been field-tested on four continents.

And, as always, I owe a special thanks to my anonymous colleague in one of I-TECH’s offices in Africa who, at the end of a web conference on basic supervisory skills several years ago, first suggested I organize the tools I shared into a toolbox for easy reference.

ABOUT THE AUTHOR

For the entirety of my career I’ve been challenged and intrigued by the promise and prospect of creating positive and productive workplaces. I have masters degrees from the University of Southern California (public administration) and Antioch University Seattle (whole systems design). Before leaping into higher education in 2013 I worked in global health for twelve years, both with an NGO (PATH) and the University of Washington (International Training & Education Center for Health—I-TECH). The foundation of my career was forged over many years working in city governments in California and Washington.