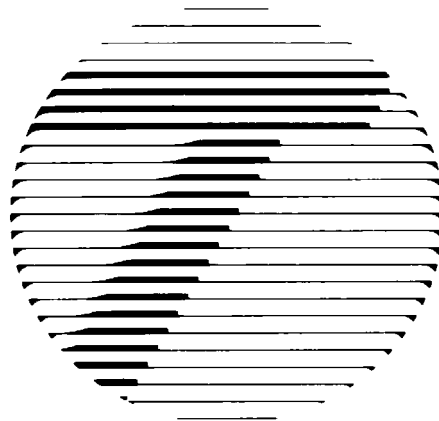# BASIC SUPERVISION

Study Guide

Effective January 2005

New York State Department of Transportation
Transportation Maintenance Division

This book contains material adapted from many sources including:

Supervising New York State: Introductory Program

Developed by the New York State Governor's Office of Employee Relations, Cornell University, Extension Division of the NYS School of Industrial and Labor Relations, and The Civil Service Employees Association, Inc.: 1985

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INTRODUCTION

The mission of the Department of Transportation (DOT) is to ensure safe, efficient, balanced and environmentally sound transportation to everyone who works and travels in New York State.
As an organization, our values are:

Excellence,

People,

Teamwork,

Pride and

Integrity.

To accomplish this mission and support these values, DOT relies on the leadership skills of its supervisors.

Good first-line supervision is vital to the efficiency and productivity of our work.

It is also the most important factor in the quality of working life of every employee. DOT is therefore committed to providing training for all new supervisors.

OBJECTIVE:

The objective of this training is to help new first-line supervisors develop the skills needed to handle the core tasks of supervision. The core tasks are:

- **Delegation:** *Trusting another person to do a job for which you remain responsible*

- **Leadership:** *The ability to influence the actions of others*

- **Decision Making:** *Choosing actions from available alternatives to achieve results*

- **Team Building:** *Helping groups achieve common goals through interaction and unity*

- **Communication:** *The transmission of a message between a sender and a receiver*

- **Counseling:** *Correcting unacceptable employee behavior*

- **Evaluating Performance:** *Letting people know where they stand*

- **Managing Diversity:** *Accepting, incorporating and empowering diverse human talent*

- **Risk Management:** *Finding, reporting, and controlling risks*

- **Motivation:** *Providing incentives for action*

New supervisors face a challenge when they first take on responsibility for the work of others. They find themselves playing new roles and adjusting to new relationships. A study of the core tasks of supervision will help new supervisors make this personal adjustment.

Definitions of Supervision

Performance Objective:	Supervisors will be able to explain the full range of responsibilities involved in supervising others.
Learning Objective:	Supervisors will recognize the various aspects of the job of supervision and will understand how their job fits into their organization.

Definition of Supervision:

"*Supervision is getting the job done through others.*"

This classic definition of supervision states the relationship between supervisors, subordinates, and work. However, it doesn't explain how to be a delegator, a decision maker, a coach, an instructor, a motivator, or most importantly, a leader.

The skills of good supervision are new to most people when they are asked to lead for the first time.

To be successful as a leader, the new supervisor needs to consider three broad areas:

ADMINISTRATIVE:

The new supervisor is accountable for many organizational procedures that subordinates don't have to consider. These include daily reports, monitoring time and attendance, budgeting, work orders, transmitting management directives and bulletins, and a host of other types of information.

TECHNICAL:

New supervisors have demonstrated their proficiency in technical skills in order to be promoted to supervision. However, as a leader becomes more involved in supervision, the amount of time available for doing technical tasks decreases and the amount of time spent helping others increases. Supervisors eventually find themselves helping people with tasks that they themselves have never done.

INTERPERSONAL:

Becoming an effective supervisor involves learning a whole set of leadership skills. Prior training both on the job and in school probably hasn't covered the interpersonal skills of leadership. New supervisors need to look to role models and mentors for tips on leadership behaviors. They also need to examine their own personal styles and consider the changes they need to make for their own growth and development.

As an exercise in defining supervision, think about all the different tasks that are part of the supervisor's job. Make a list of these tasks on the next page and discuss them with your manager. Ask if you will actually be evaluated on how well or poorly you perform each task.

Supervision Task List:

"Supervisors are responsible for planning, organizing, directing, and controlling the activities of employees who do the necessary tasks and services of organizations."

(from Steinmetz & Todd: <u>Supervision, First Line Management,</u> NYS Library call number: C, 658.302, S 823, 93-47647)

*   Supervisory Duties:

Planning and Organizing:
Lay out the work and decide how to handle it.

Processing the Work:
Assign the work and supply what your employees need to get the job done.

Controlling the Operation:
Keep the work up to standards and check on costs and materials.

Administering Rules:
See that conduct and procedures are done according to the rules.

Keeping People Informed:
Talk with and listen to staff - up and down the line.

Making Improvements:
Find better ways for doing the work and solve job problems.

Handling Personnel Matters:
Administer leave time, benefits, pay, change of jobs, overtime, and other personnel functions.

Training and Development:
Break in new people, build morale, plan replacements.

Monitoring Safety and Security:
Prevent trouble. Deal with accidents and illnesses. Safeguard equipment and supplies.

Serving as Representative:
Act for the group or the organization as required."

 *   (From: Howard Shout: <u>Start Supervising</u>, NYS Library call number: C, 658.302, S 559, 85-31810)

The Hawthorne Effect

Between the years 1924 and 1930, a branch of AT&T, the Hawthorne Works, conducted a famous experiment in management and supervision. The resulting principle, the "Hawthorne Effect," established the importance of interpersonal contact in supervisory/subordinate relations.

Over a series of years, experimenters at Hawthorne varied the amount of room light in various departments of the plant. They thought that as room light went up, productivity would increase, and that as room light went down, productivity would decrease. To their surprise, the experimenters found that productivity went up whenever they changed the room light, either way. Further experiments confirmed that workers were responding to any change rather than to single factors in the work place.

A management scientist, Elton Mayo, analyzed the results of the experiment at Hawthorne. He realized that with each change, the experimenters were consulting the workers about their feelings and opinions. Mayo's conclusion was that it was the attention paid to the workers on a personal level that resulted in improved morale and higher productivity.

The lesson of the "Hawthorne Effect" is that good supervision must include personal trust, respect, and confidence between employees and supervisors. This kind of good supervision will result in an increased desire to do good work.

Questions about this module:

Would you agree to be evaluated on your performance of all the tasks on your list? Are there tasks on your list that do not apply to your work? Use your task list , along with your own supervisor, to develop a performance program for your new job.

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DELEGATION

Performance Objective:	Supervisors will delegate assignments in ways that get results.
Learning Objective:	Supervisors will understand the steps of successful delegation.

Definition of Delegation:

Delegation is trusting another person to do a job for which you are responsible.

The four steps of delegation are:

1. Make sure the employee <u>understands</u> the assignment and <u>agrees</u> to do the work.

2. Tell the employee how you will <u>check</u> his or her work, or how he or she is to <u>report</u> completion. Check back later in the way you have said you would.

3. Make sure that everyone involved knows that the employee has the <u>authority</u> to carry out the work.

4. <u>Review</u> who does what.

To delegate successfully, the supervisor:

(1) verifies the employee's acceptance of responsibility,

(2) specifies a method of accountability,

(3) establishes authority equal to accountability,

(4) and monitors progress and completion.

KEY WORDS: (1) RESPONSIBILITY
(2) ACCOUNTABILITY
(3) AUTHORITY
(4) REVIEW

Supervisors are always accountable for the work of their
units. Supervisors are also accountable for the effectiveness of their delegations.

   Subordinates accept responsibility for work assignments and are then accountable
for those assignments. It is the job of the subordinate to accept assignments and to
report on progress in designated ways.

   Divide the work into tasks that can be accomplished by individual subordinates. Make
sure that all subordinates have enough tasks to challenge their capabilities.

    In all delegation situations for which you are accountable, make sure that you know
the answer to this question:

WHO DOES WHAT?

What positive advantages will I achieve if I delegate?

In order to analyze your own feelings about delegation, take the following quiz and consider what it tells you about your attitudes toward delegation. Rank in order of importance the following advantages of delegation, where (1) is the most valuable to you and (5) or (6) is the least valuable.

                                                                                    Rank

A more equal distribution of work load

More time to devote to other work

More time for self-development

Help employees become competent and self-confident

Enrichment of the jobs of employees

   All of these factors are real benefits of delegating, and real responsibilities of supervisors. In making your choices, think about the advantages of delegating.

Conversely, the factors below are typical fears of new supervisors. As you make your choices, think about what keeps you from delegating. Remember that people like to feel useful and busy and will follow a leader who structures meaningful work in which they can participate.

What factors keep me from delegating?

Rank in order from (1) to (7) where (1) is the most important reason why you might not delegate and (7) is the least important reason why you might not delegate.

Rank

You dislike asking others to do things.

You are unsure of how to teach employees.

You are unsure of what jobs to delegate.

You are concerned that someone will
   be able to do the work better than you can do it.

You are worried that you will be blamed
   for the mistakes of others.

You are worried about getting the job done on time.

You believe that people don't want more work.

Guidelines for Delegation:

1. Explain the task clearly.

2. Check their understanding of what you have said.

3. Be reasonable in what you expect them to do.

4. Be available to explain things.

5. Let them work by themselves to build their self-confidence. (Don't stand over them.)

6. Let them know that you trust their intelligence and judgment.

7. Don't accept poor work.

8. Recognize and reward good work.

9. Don't take over, let them do it.

10. Don't expect perfection.

11. Make sure that their time is occupied with useful work.

12. Make sure that all subordinates have enough tasks to challenge their capabilities.

EVALUATING YOUR DELEGATION SKILLS:

Fill out this self-assessment questionnaire. Assess your delegation skills and identify improvement areas.

Self-Assessment:

Circle the number that is closest to the statement on the right or left that best describes your delegation style. Discuss the results with your supervisor and try to identify areas of personal style on which you can improve.

I look for tasks in my work that take up my time but could be done by a subordinate	3	2	1	I try to do everything myself, even things that could be done by a subordinate.
I find that I can work at a normal pace because I focus on problems that are important and I delegate small decisions.	3	2	1	I am always in a hurry because I try to solve every little problem myself instead of delegating small decisions.
I carefully match the jobs I delegate to the abilities of the person who will do the job.	3	2	1	I delegate without much consideration of the abilities of the person who will do the job.
I use delegation to give subordinates experiences which will prepare them to move up to new jobs.	3	2	1	I delegate only the easiest jobs that I know subordinates can do. I seldom give them a challenge.
I give subordinates very specific descriptions of what they are to accomplish and when.	3	2	1	I often give only vague goals, such as "Do the best you can," which confuse my subordinates.
I give people a chance to ask me questions and get help if they really need it.	3	2	1	Once I delegate a job, I do not expect that there will be any more questions about it.
I give my subordinates the authority to make decisions as well as making them accountable for the effects of decisions.	3	2	1	I often tell a subordinate that he or she is accountable for a decision but actually keep the authority for the final decision for myself.
I delegate decisions to the people closest to a problem who can solve it quickly.	3	2	1	I find myself making many decisions which could have been made more quickly by subordinates.
With a new subordinate I delegate when I have time to watch what happens.	3	2	1	I delegate under pressure so I seldom have a chance to watch how a subordinate makes decisions.

|				
I allow my subordinate to do the job in their own way, as long as they make no big mistakes.	3	2	1	I expect people to do a job exactly the way I would do it, so I watch them very closely and correct them often.
In discussing a subordinate's performance, I focus on how to improve what he or she has done.	3	2	1	In discussing a subordinate's performance, I try to assign blame and make personal attacks.
Once I delegate a job, I do not overrule a person's decision without discussing it with that person first.	3	2	1	I often overrule subordinate decisions without their knowledge.
I take full responsibility for my subordinates' decisions with my superiors.	3	2	1	I use delegation to give me someone to blame if something goes wrong.

SCORING:

35 and above	=	very good delegation skills
29 to 34	=	fairly good delegation skills
19 to 28	=	average delegation skills
13 to 18	=	below average delegation skills

Questions about Delegation:

Based on the self-assessment above, do you have questions about delegation? What assignments are usually delegated in your work unit? What systems of accountability have worked in your unit? What types of authority do you need to accomplish the work assigned to your unit?

LEADERSHIP

Performance Objective:	Supervisors will choose styles of leadership that are appropriate to the needs of their subordinates, their organization, and the work situation.
Learning Objective:	Supervisors will understand the range of leadership styles available to them. They will understand the need to choose appropriate styles and the need to explain their choice of style.
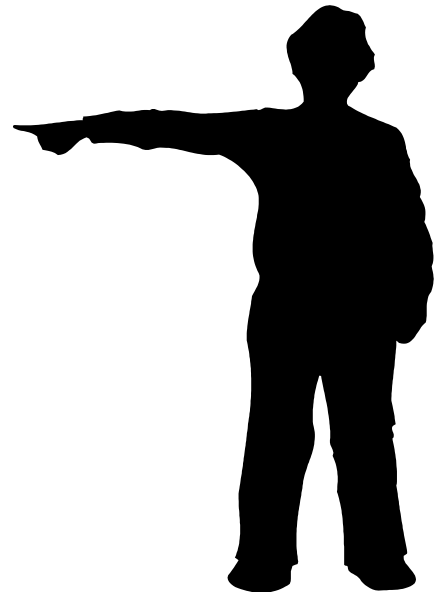
Definition of Leadership:

Leadership is the ability to influence the actions of others.

Supervisors can influence people in many different ways. Different situations require different approaches. Supervisors need to use a variety of leadership styles to meet different situations. Ask yourself the following questions: When is it appropriate to "get tough?" When is it appropriate to be easy going? When is it appropriate to let individuals or groups work on their own? Supervisors need to learn how to adapt their personal styles to different circumstances.

In choosing a leadership style to meet a given situation, supervisors should consider factors such as control over how work is done, control over people's activities, and control over the development of skills and abilities in the subordinate.

The way to succeed as a leader is to talk with the people on your team about your choices. Tell them why it is necessary for you to get tough in some circumstances and to be easy-going in others. If you explain your choice of style and ask people to follow your lead, they will usually cooperate. If, on the other hand, you are not willing to make the effort to explain yourself, you are headed for trouble. This trouble will take the form of confusion, resentment, misunderstandings and personality conflicts.

Exercise:

Lay out a piece of string flat and straight on a table. Try to move the string across the table by pushing it. Observe what happens to the string. Then try to move the string by pulling it. Observe what happens. Understand that leadership styles vary. Choose a leadership style appropriate to the situation at hand.

What lessons does the string demonstration have for supervisors as leaders?

How do people feel about being pushed?

Think of situations in which you have felt pushed by a boss.

What problems result from inappropriate choices of leadership style?

Choosing A Leadership Style

The following materials are adapted from the Harvard Business Review article: "How to Choose a Leadership Pattern," by Robert Tannenbaum and Warren Schmidt, 1958.

Should a leader be democratic or autocratic in dealing with subordinates - or something in between? Supervisors hear and read many opinions on whether leadership should follow a democratic-participative approach or an authoritarian one-person method. In reality, there is a whole spectrum of leadership styles between these two extremes. Different leadership styles are appropriate to different situations. The successful leader is the one who recognizes the nature of the particular problem and adopts the appropriate pattern of leadership. The range of leadership style can be seen in the following comments from supervisors:

"I believe in getting things done. I can't waste time calling meetings. Someone has to call the shots around here, and I think it should be me. I'm being paid to lead. If I let a lot of other people make the decisions I should be making, then I'm not worth my salt."	"Once I have decided on a course of action, I do my best to sell my ideas to my employees. I spend a lot of time persuading people to do things the way I know they should be done."	"It's foolish to make decisions oneself on matters that affect other people. I always talk things over with my subordinates, but I make it clear to them that I'm the one who has to have the final say."	"I put most problems into my group's hands and leave it to them to carry the ball from there. I serve merely as a catalyst, mirroring back the people's thoughts and feelings so that they can better understand them."

These attitudes of supervisors can be seen as a range of styles. The range of styles runs from an extreme use of authority by the supervisor or manager to an extreme area of freedom for the subordinate.

The following chart by Tannenbaum and Schmidt, "How to Choose a Leadership Pattern," Harvard Business Review, 1958, diagrams the range of leadership style:

CONTINUUM OF LEADERSHIP BEHAVIOR:

Boss Centered Leadership		↔		Subordinate Centered Leadership		
Use of Authority by the Supervisor		↔		Area of Freedom for Subordinates		
Supervisor makes the decision and announces it.	Supervisor sells the decision.	Supervisor presents the decision and invites questions.	Supervisor presents a tentative decision, subject to change.	Supervisor presents the problem, gets suggestions and then makes a decision.	Supervisor defines limits of the work unit's authority, and then asks the group to make a decision.	Supervisor lets sub-ordinates make decisions within limits defined by mission and goals.

Leadership styles can be analyzed by the amount of control the leader chooses to exert over people and tasks:

High Control	Moderate Control	Low Control

TELL	SELL	COUNSEL	ADVISE
Directing Controlling	Reasoning Persuading	Reinforcing Participating	Delegating Observing

HI Control	Moderate Control	Low Control

Doer	Coach	Counselor	Observer
Sports Example: <u>Run</u> the play yourself so that the quarterback can see what you want and how to do it right.	*Sports Example:* <u>Tell</u> the quarterback exactly how to run the play.	*Sports Example:* <u>Talk</u> over the play with the quarterback so that the risks and advantages of the different ways to run the play are obvious.	*Sports Example:* <u>Watch</u> from the sidelines and let the quarterback run the play the way he or she wants to. Advise when asked.
At Work: <u>Take over</u> the front end loader and show the crew member exactly how to curl the bucket.	*At Work:* <u>Explain</u> to the crew member exactly how to use the controls to curl the loader bucket.	*At Work:* <u>Discuss</u> with the crew member how the loader bucket scoops up salt and let him discover for himself how to use the controls while you watch to make sure he does it right.	*At Work:* Describe the need to load salt onto trucks with the loader and let the crew member <u>figure out</u> how to use the equipment. Check back later to see if he or she was successful.

Evaluating Your Leadership Skills:

The eleven statements below describe different aspects of leadership. They represent areas in which you, the supervisor, will make a choice of style. Please circle yes, no, or maybe based on how you think you act, or would act, as a supervisor.

If a statement refers to an area of leadership that is presently outside your control, you can circle N/A (not applicable.) Or, you could base your answer on how you think you might act in the future.

1. While working with my team, I always look for ways of improving our performance.	yes maybe no N/A
2. I try to help people right away if they begin to have problems with their work.	yes maybe no N/A
3. I like a relaxed atmosphere in my work team. I don't feel that it is always necessary to tightly control the team.	yes maybe no N/A
4. I let my team know how to do its work. I am in charge of the group's activities. I am always aware of what people are doing.	yes maybe no N/A
5. I like the flow of work to be orderly and consistent. I establish the processes we are to follow and I keep the team on track.	yes maybe no N/A
6. I delegate assignments in clear direct language. Team members always know what I am asking for.	yes maybe no N/A
7. Team members don't have to check with me about everything they do. People can try out their own ideas.	yes maybe no N/A
8. I keep everyone on the team informed about things they need to know. Everyone knows what I expect of them.	yes maybe no N/A

9. I am friendly, encouraging, and sympathetic with the members of my team. I encourage them to maintain a friendly atmosphere in the work unit.	yes maybe no N/A
10. As much as possible, I let team members make their own decisions about how to do their work.	yes maybe no N/A
11. I keep a businesslike tone in the team. Communications at work should be about work.	yes maybe no N/A

There are no hard and fast correct answers to this self-assessment. These questions make you think about your own style as a work place leader. If your answers seem too negative or one-dimensional, you should focus on your improvement areas.

Questions about Leadership:

Based on your answers to this self-assessment, do you have questions for your supervisor or other mentors? What leadership styles have worked in your unit? What are the challenges to leadership in your unit?

DECISION MAKING

Performance Objective:	Supervisors will use a well planned method for making complicated decisions.
Learning Objective:	Supervisors will be aware of the increased responsibility involved in making decisions that affect others. They will be aware of the steps and techniques of problem solving.

blank

Definition of Decision-Making:

Decision-Making is choosing actions from available alternatives to achieve a result.

When you become a supervisor, you start making decisions that affect other people. Your responsibility for others (your crew) will involve you in some complex challenges. The following chart illustrates the range of work situations that call for decisions:

ROUTINE:
Recurring situations that don't require much thought or choice

LIMITED FLEXIBILITY:
Situations where little choice is allowed: Procedures and Regulations are specific

PROBLEM:
Difficult situations that have no good alternatives

RISK:
Situations in which bad decisions could have large and unpleasant consequences

COMPLEXITY:
Situations with many alternatives that require you to consider many possible solutions

Decision Making Case Study:

Read the following case study and consider how supervisors make and defend complex decisions that affect other people.

The Sam Williams Case

Sam Williams has worked for the Transportation Maintenance Division for the last ten years. Several months ago Sam was promoted to Highway Maintenance Worker 2.

Since the beginning of snow and ice season, Sam has often been put in charge of a shift at a remote re-load location. He leads a crew that loads and operates plows during snow and ice call outs. Sam's re-load site normally has enough certified drivers to send out four plows. When Sam is in charge of this crew, he usually coordinates activities from the site rather than from the road. This particular crew works well with Sam and they have a reputation for getting things done.

Lately, there have been many absences caused by a flu epidemic in the whole residency. Today there is a heavy snow storm and only two people report to Sam's shift for snow plowing. Sam has a tough decision to make. He remembers how his boss, George Nash, has always told him that his top priority is to keep the roads open. He also remembers that his boss has told him that someone needs to stay at the site in case a plow comes back with some problem, or a plow turns over on the road. The site is centrally located for the beats it serves and Sam could provide emergency help more quickly if he stayed at the site.

Sam tries to call George Nash, the HMS2, on the radio for instructions. To his surprise, the storm has knocked out communications. Both truck radio and cell phone are out. Sam knows that in these circumstances, communications could be out for an indefinite period of time. He does not know when he will be able to reach anyone by phone or radio.
What should Sam do?

- Should he take out a plow himself and try to open the most important roads?

- Should he stay at the remote re-load location?

Sam must decide on priorities in a tough situation. This decision is a chance to strengthen his leadership role with his crew.

- What should he consider in making his choices? If George arrives sometime later and questions Sam's decision, how should Sam defend his choice?

- What should Sam say to George? How should he explain his decision to his HMS2?

Here are some aspects of Sam's situation that you can discuss with your class:

- How would you define the essential problem that faces Sam?

- What are the limits on Sam's flexibility in making his decision?

- What were the risks involved in Sam's choices?

- What people or groups could Sam involve or refer to in making his decision?

- Are there creative alternatives that Sam should consider?

The Problem Solving Process:

If the problems that come up are simple, then you should solve them at the lowest possible level and with a minimum of fuss. But, not all problems will be simple. Sooner or later, all supervisors are called on to make complex decisions. Complex decisions require a formal method of <u>problem solving</u>. The following steps outline the mental discipline of problem solving:

● Define the Problem

● Analyze the Causes of the Problem

● Generate Potential Solutions

● Select and Plan Solutions

● Implement Solutions

● Evaluate Solutions

<u>Define the Problem:</u>   What is the real cause of your concern? How does the situation differ from the ideal? An accurate problem definition is a key to solving the problem. Problems contain their own solutions **if** accurately stated.

<u>Analyze Problems:</u>   Search for causes. If you can identify a range of causes, you can find the <u>key</u> causes that will reward your efforts at change. Examine factors such as people, processes, supplies, equipment, and facilities. Faulty processes cause 90 percent of work problems.

<u>Generate Potential Solutions:</u> Reach out to people, groups, or other resources who can offer different points of view on how to solve the problem. Get a broad range of potential solutions before making decisions.

<u>Select and Plan Solutions:</u> Compare the merits of each potential solution. Solutions should be "filtered" by various criteria such as practicality, cost effectiveness, acceptability, etc. In selecting one solution, don't throw out other potential solutions. They may come in handy in other contexts.

<u>Implement Solutions:</u> Plan a strategy for gaining acceptance for your solution. You may need to "sell" your idea to people or groups who are unaware of your problem.

Evaluate Solutions: Examine how your solution worked out. You will find that nothing creates new problems faster than good solutions to old problems. That, however, is the natural cycle of continuous improvement.

How does problem solving fit into the cycle of continuous improvement?
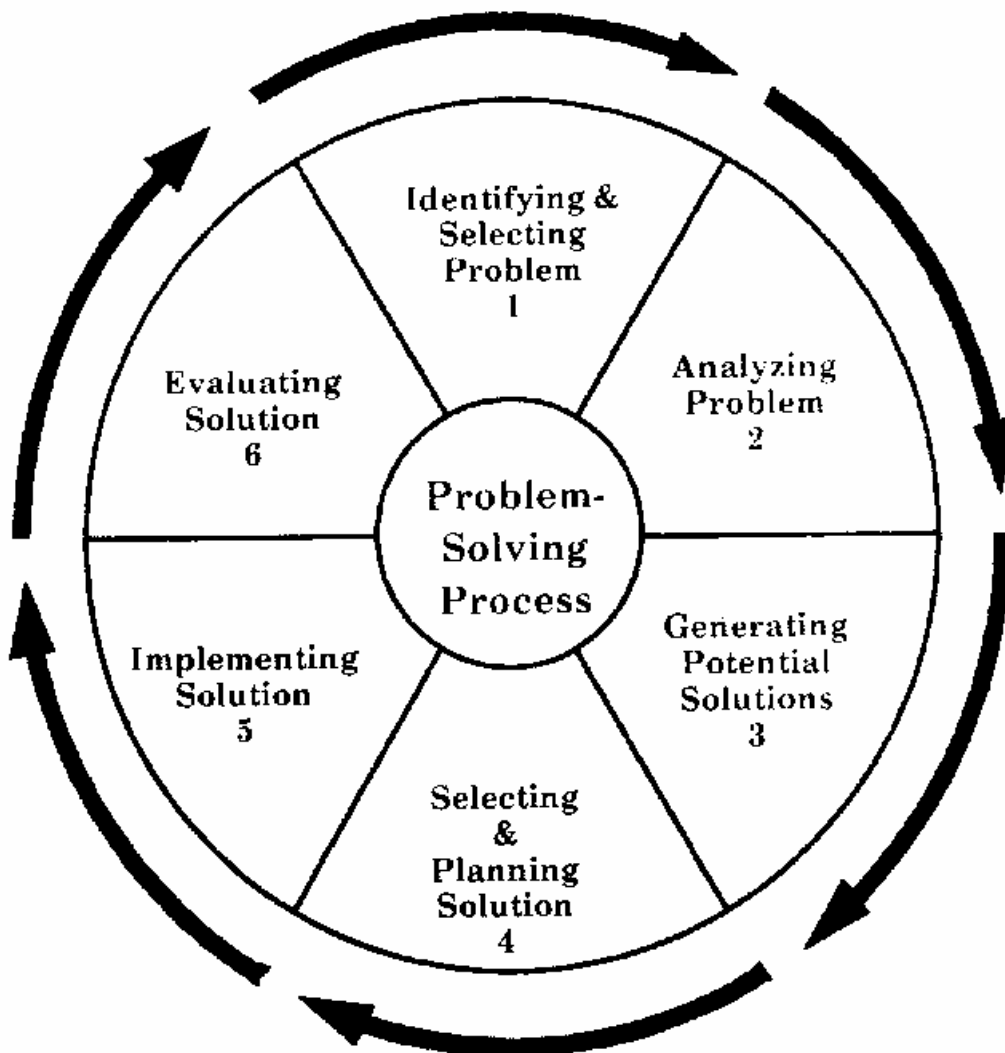
Defining the Problem

Compare the present situation to the ideal condition. Ask yourself: "What are the circumstances right now, and how would I want things to be, ideally?"

In the Sam Williams case, what was Sam's immediate situation and how did it compare with the ideal condition? Sam had to find a balance between clearing the roads and obeying a standing order. Both are important and both demand Sam's time. If he had defined his problem as: "Balancing the need to clear the roads with the need to support the other drivers," he could have found some acceptable compromise.

Try to define any problem as something:

Specific: Think of the problem as one particular thing. If you worry about conditions that are vague and general, you will have no way to change those conditions. Sam should focus on how to balance the competing demands on his time, not on how overloaded he is, or on how unfair policies are, or how mean his boss is.

Measurable: Decide on the size, extent, scope, length, dimensions, duration, of the problem. If your problem can't be measured, it is probably too vague and general to be solved. Sam needs to consider the lane miles he needs to clear, the time it takes drivers to complete their beats, the priority of sections of road, and the kinds of support he can offer under the existing circumstances.

Achievable: Potentially Solvable
Keep the problem small enough so that it is within your power to solve. Don't let the problem take on aspects with which you cannot deal. How can Sam get through the immediate crisis? Let the larger problems of weather and absenteeism wait.
.
Compatible: Is your organization mandated to deal with this problem? Define the problem as something that falls within the mission of your work unit. Can Sam fix the communications breakdowns? Can Sam declare roads to be "closed?" Can Sam increase the speed at which the plows clear snow? Sam needs to measure his solutions against the reality of the organization.

The next time you have a problem, **SMAC** it!

Analyzing the Problem

Relying on first impressions, or "shooting from the hip" is a poor way of analyzing problems. You need to look at the problem from every angle and be sure that you have all the information you need.

The classic idea of "thinking outside the box" can be demonstrated with the following brain teasers:

(1)   Connect nine dots with four straight lines without lifting your pen or marker off the page.

```
      *     *     *

      *     *     *

      *     *     *
```

(2)   Calvin had a window in his garage that was twelve inches high and twelve inches wide. It was too small for Calvin, so he sawed around it and made the window twice as large. He measured the resulting window and found it to be twelve inches high and twelve inches wide. How did he do it? NB: You can assume that the width of the cut (the kerf of the saw) is not a factor in the problem. Your instructor will have the solution to this puzzle. Discuss with the class how this puzzle demonstrates "thinking outside the box."

(3)   Describe the order in which the following numbers have been put:

8 11 5 4 9 1 7 6 10 3 2

Answers:

(1) Extend your lines beyond the apparent "box" defined by the dots.

(2) Think of the original window as diamond shaped and the enlarged window as a square. The mid-points of the sides of the square are the points of the diamond.

(3) They are in alphabetical order.

<u>Generating Solutions</u>

Don't jump to conclusions. Don't grab at "easy" solutions to your problem. Make sure you understand all of the possible solutions. Suspend judgment until you can examine all your options.

The group activity called **<u>Brainstorming</u>** demonstrates the process of generating solutions. The following classroom exercise shows how to conduct a brainstorming session.

If you are using this book in a class, break your group into teams of six to ten people. Each team will brainstorm the uses of a common red brick. If you are using this book in a self study mode, use the description of this exercise to consider how groups can use this process for problem solving.

First, each person in the team should list the different uses of the brick individually. Your instructor can ask the class members for the number of uses they have listed. Use this number as a baseline of comparison for your brainstorming activity.

Next, each <u>team</u> lists the uses of the brick by **<u>Brainstorming.</u>** Teams are usually able to list many possible uses. This can happen only if everyone feels free to suggest ideas and no one's creativity is suppressed by criticism or sarcasm.

Start with a "round robin" approach. Each person in turn suggests one possible use for the brick. A group recorder/reporter writes down each use in some prominent place where everyone in the group can see the growing list. This should be done on flip chart paper. Each and every idea gets written down no matter how wild or crazy. Even the craziest of potential uses might spark someone's thinking in a useful direction. Ideas can be useful even if they merely build on previous ideas. No one will criticize anyone's suggestions. No one will ask for, or offer, explanations of ideas. Just list every idea.

Keep going around the group, round robin style, until people start to run out of suggestions. Participants can pass their turns if they are momentarily stumped.

When the team runs out of ideas, ask yourself if you could think of all these ideas on your own. Compare the group's work to your earlier baseline.

Someday, you may be called on to lead your team through a serious brainstorming session about a tough work problem, such as a budget cut or an unusual assignment. In a situation like that, it would be essential for you to guide the group through these steps so that the session doesn't break down into conflict.

<u>Selecting Solutions</u>

When you have finished an exercise in generating solutions, you are ready to select the particular solution(s) that will work for you in the situation at hand. What criteria or "filters" would you use to <u>select solutions</u>? Your filters will probably be the measurement criteria which are commonly applied to work, with which we are all familiar.

Measurement criteria that might be used as selection "filters:"

Time
Money
Accuracy
Conformance to Standards
Materials
Efficiency
Quality
Customer Satisfaction
Available Staff
Knowledge, Skills, and Abilities of Staff
Priorities
Urgency
Complexity of Task

Each of these measurement criteria could be used as a "filter" in selecting a solution. You would do this by examining your list of potential solutions and asking yourself or your team: "Which of these solutions can be implemented in the ***time*** available?" If a solution did not pass this "time" filter you might set it aside by putting brackets around it on your list. After you examined your list by using this first filter, you could go on to a second filter by asking: "Which of these solutions can be implemented with the ***money*** available?" After that filter, you could subject your list of potential solutions to each subsequent filter in turn (materials, standards, etc.) until the best solution emerges from your list.

Note: When you have gotten the list down to a few potential solutions, there is a tendency to try to solve things quickly by taking a vote. This can be a trap because voting creates winners and losers. That is not a useful situation for a work team. Keep applying "filters," or "selection criteria," until a CONSENSUS is reached. A consensus solution may not be anyone's first choice, but it should be something everyone can live with.

Planning, implementing, and evaluating a solution are difficult to consider abstractly. As an optional exercise, think of a real work problem and how you might carry out the last three stages of planning, implementing, and evaluation.

Evaluating Your Decision-Making Skills

Circle the number that is closest to the best description of your decision making style:

I plan for decisions that I know are coming up.	3	2	1	I react to problems only when they occur. I seldom plan for future decisions.
I state specific goals before analyzing a decision.	3	2	1	I often make decisions without really knowing what I am trying to accomplish.
I try to consider the causes of a problem, not just the symptoms.	3	2	1	I often see problems in terms of their symptoms, and so my solutions often don't last.
I check the organization's policy before making decisions.	3	2	1	I seldom bother to check rules, so I often miss important factors in decisions.
I get advice from others when they have information that can help me.	3	2	1	I never ask for advice even when others might have important information.
I consult with my work team and try to generate many possible alternatives before choosing.	3	2	1	I consider only the most obvious alternatives. I often miss the best one because I did not think of it and did not ask for the opinions of others.
I consider the limits of my actions when generating alternatives.	3	2	1	I often fail to recognize limits and end up considering unfeasible alternatives.
I analyze options on all important criteria so they are easy to compare.	3	2	1	I use different criteria to analyze different options. This makes comparing them more difficult.
I observe how my decisions produce results, and I use what I learn to make future decisions.	3	2	1	I don't usually look for patterns in my decisions. I tend not to learn from my mistakes and successes.

I develop systems to help me make decisions that come up frequently.	3	2	1	I make each decision in a different way. I spend a lot of time reinventing the wheel.

SCORING:

27 and above=		very good decision making skill
22 to 26	=	fairly good decision making skill
15 to 21	=	average decision making skill
10 to 14	=	below average decision making skill

Questions about Decision Making:

Use this self-assessment to identify questions about decision making. For example, what kinds of decisions are routine in your work unit? What kinds of issues should be brought to your manager? What kinds of issues should be solved at the lowest level?

blank

Working With Teams

Performance Objective:	Supervisors will build work teams in ways that promote employee involvement. Supervisors will encourage and support team work.
Learning Objective:	Supervisors will be aware of the kinds of teams, the roles played in teams, and the skills needed for successful team work.

Definition of Team Work:

A team is a group that achieves common goals through interaction and unity.

Work teams have the following characteristics:

▶ **Definable Membership**: two or more people with the same interest.

▶ **Group Consciousness**: conscious identification with each other.

▶ **Shared Purpose**: the same goal or ideas.

▶ **Interdependence**: team members help each other and hold each other accountable.

▶ **Interaction**: they communicate and react to each other.

▶ **Unity**: they behave as a single organization.

Different Kinds of Teams:

Supervisors work with various kinds of teams to make decisions or to do group jobs. One kind of team is the problem solving team you have just seen in your brainstorming session. There are other kinds of teams that can be described in various ways that operate in the work place.

The first step in leading a team is to ask yourself: "What type of group do we need to meet the work situation?" Read and discuss the list below. Each kind of team has slightly different authority and responsibility.

The supervisor must let the team know the scope of its authority and responsibility before the team begins its work. If you fail to do this, you risk losing the team's trust in your leadership.

a **TASK FORCE**:
a group that has responsibility for specific projects.
Example: a storm clean up task force

a **STANDING COMMITTEE**:
a group that has oversight of some recurring problem or circumstance.
 Example: an office morale committee, or a holiday party committee.

an **ADVISORY BOARD**:
a group that gives general advice on a particular topic.
Example: a women's advisory board.

a **FACT FINDING TEAM**:
a group set up to investigate some particular circumstance.
Example: a group looking for the best price for a particular purchase.

a **WORK GROUP:**
a permanent team that handles all aspects of a certain kind of work.
Example: a guide rail crew

a **PROBLEM-SOLVING TEAM**:
a temporary group focusing on solving a problem.
Example: Adapting a site for a complicated RWIS installation

Teams need to know about the extent of their **EMPOWERMENT**. Has the supervisor given the team the authority to make final decisions? **OR**, does it only give advice? Will someone else or some other group make the final decision?

_____

Teams also need to know the extent of their **RESPONSIBILITY**. Does the team carry out its own decisions or recommendations? Does the group do the work itself? **OR**, does it only give advice to someone else who will then actually do the work?

_____

Take a work problem (for instance, a recent assignment) and analyze the group that worked on the problem using the chart below.

Type of Team:	Name of Team:	Empowerment	Responsibility
Problem-Solving			
Task-Force			
Standing Committee			
Advisory Board			

Individual Roles Within Teams:

Within every team, members play a variety of roles. These roles seem to emerge naturally in any group. Different people in a group will play different roles at different times. An effective team leader (or supervisor) recognizes these roles when they emerge in meetings. The effective team leader then uses this role playing to advance the work of the group.

Role behavior in teams can be categorized as:

TASK ROLES:	Primarily concerned with the task at hand
MAINTENANCE ROLES:	Primarily concerned with the efficiency and comfort of the group
COUNTERING ROLES:	Primarily concerned with countering what the individual sees as an unproductive direction being taken by the group

TYPICAL TASK ROLES:

1. **Information or
   Opinion Giver** . . . . Gives ideas or information for discussion.

2. **Expediter** . . . . .Knows when the group is going astray.

3. **Idea Person** . . . . Has imagination, thinks originally and often comes up with the idea that serves as the basis for the ultimate decision.

4. **Analyzer** . . . . Helps the group get to the heart of the problem.

Typical Maintenance Roles:

1. **Active Listener** . . . .   Reacts to the comments of group members, and speaks up whenever someone makes a point.

2. **Harmonizer** . . . . . .   Reduces and reconciles misunderstandings.

3. **Gatekeeper** . . . . . .   Keeps communications on track, helps keep order in meetings, keeps the communication channels open.

4. **Compromiser** . . . .   Works out compromises, reconciles different positions, suggests minor modifications that help settle disputes.

Typical Countering Roles:

1. **Aggressor** . . . .   Insists on their own point of view, criticizes almost everything or blames others when things get rough.

2. **Blocker** . . . .   Goes off on tangents or argues without giving up, rejects ideas on a personal basis, blocks ideas from gaining acceptance.

3. **Joker** . . . .   Clowns, mimics, or generally disrupts by making a joke of everything.

4. **Withdrawer** . . . . . .   Refuses to be part of the group, drops out of group discussion and activities.

5. **Devil's Advocate** . .   Questions the groups ideas from an opposing point of view (without necessarily believing in the opposing point of view) in order to test the strength of the group's ideas.

Leadership Roles Within Teams:

When a supervisor is called on to work with a team, he or she can play various roles. The supervisor doesn't have to be the leader of every work team. Supervisors should have the skills to take on any of the roles listed below:

Role:	Tasks:
Leader	- Keeps everyone involved. - Focuses the group on what needs to be done. - Establishes relationships and works out difficulties. - Suggests work methods.
Coach	- Reminds the group of rules and procedures. - Points out unnecessary digressions. - Discourages criticism of ideas. - Strives for consensus. - Makes sure all steps of a process are completed before moving on. - Suggests the use of "tools": road maps, parking lots, decision charts
Scribe	- Records the groups ideas <u>verbatim</u> (without editing) - Asks questions to make sure everyone has the correct understanding of ideas and suggestions. - Keeps track of all comments. Doesn't exclude anyone. - Sets aside some ideas without losing them (using brackets; don't erase).
Time Keeper	- Leads the discussion that decides on the allocation of time for group discussions. - Monitors how long the group is taking for specific tasks. - Gives regular updates on the group's progress.
Presenter	- Gives spoken presentations of the group's work. - Keeps outlines of the group's processes and decisions so that the group's work can be explained to outsiders.
Facilitator	- Maintains a climate conducive to participation. - Helps develop the meeting agenda - Suggests the best group process to use. - Manages conversational traffic. - Brings about change without disruption. - Helps people to discover new approaches and solutions. - Helps form new groups and gets them started in the right direction. - Summarizes actions / assignments

Evaluating Your Team Building Skills:

For the statements in the columns below, circle numbers that indicate how you would react in that situation. The lower numbers are the negative reactions; the higher numbers are the positive reactions. The number 2 represents a position between the extremes; it may also mean that you are not sure of your behavior.

I like to talk things through with the team.	3	2	1	Talking things through before every decision is a big waste of time.
Before talking with the team, I plan what I am going to say.	3	2	1	I rely on my knowledge of the work to get me through team meetings. I don't plan out a strategy before the meeting.
The team can always count on me to tell them how I feel about work problems.	3	2	1	I don't bother people with my personal opinions about work problems.
My comments about the tasks facing the team are usually helpful.	3	2	1	I don't impose my view point on the team's discussions. I let others provide the leadership.
I contribute to the team's evaluation of an idea's merit.	3	2	1	I don't think it is my job to decide for others about the importance of an idea.
My comments in team discussions help the meetings run smoothly.	3	2	1	My comments in meetings don't always make things go smoothly.
I help lead the team when it is appropriate.	3	2	1	I don't like to act as the team's leader.
If I am leading the team, I suggest a well planned course of action.	3	2	1	If I am leading the team, I try not to impose my own plans on the group.

I will respect the team's decisions even if they don't follow my suggestions.	3 2 1	If the team decides on a course of action I don't agree with, I will go my own way.

24 & above = very good team building skills
18 to 23   = fairly good skills
 9 to 18   =   skills need improvement

Questions about Working with Teams:

Does the self-assessment above suggest questions about working with teams? What responsibilities do you have for team building in your work unit? Are you familiar with the ways in which your unit has practiced group decision making?

blank

COMMUNICATION

Performance Objective:	Supervisors will ensure that all needed communications (messages, instructions, assignments, requests, etc.) get through to their employees.
Learning Objective:	Supervisors will be aware of the problems that disrupt communication. Supervisors will be aware of the techniques for restoring effective communication.

Definition of Communication:

Communication is the transmission of a message between a sender and a receiver.

** If the message does not get through to the receiver, then no communication has taken place.

People use a variety of methods to communicate. Our communication methods include talking, writing, signs, pictures, singing, music, rhythms, codes, appearance, inflection, eye contact, gestures, etc. All of these methods are assisted by technical means such as telephones, radio, video, telegraph, fax, e-mail and a host of other electronic innovations. In fact, people are very good at inventing ways to communicate.

By contrast, there are only a few basic **REASONS** for communicating, which are:

To give or to get: **INFORMATION**

To change someone's thinking
or to convince of significance: **PERSUASION**

To vent or to absorb: **EMOTIONS**

If communicators can analyze their **reason** for communicating, they can then choose appropriate and effective methods of communication.

Always know **WHY** you want to communicate. This will help you choose the right tone, intensity, and level of detail. It will also help you choose the kind of acknowledgment you need as a reply to your message.

Better Listening

You can't learn anything from another person if you do all the talking. You can't figure out what a member of your team is likely to do by talking <u>at</u> them. Good leaders listen to what team members are saying. They listen for preferences, motivational drives, and attitudes. All those factors are vital to the way you lead, and only your team members can tell you.

Learn how to listen.

Tips for good listening:

* Maintain eye contact - Look at the person who is talking to you. Nod or make "agreement sounds" when the other person makes a point. Look interested.

* Leave pauses, allow silences - Let the other person have time to gather their thoughts and continue. Don't jump in every time there is a brief pause.

* Test your understanding of what the other person is saying. Restate or paraphrase. - Use phrases like:
    "So, you're saying that . . . "
    "If I understood correctly, you are saying that . . . "
    "What do you mean when you say . . . ?"
    "Have you really done   . . . ?"

 * Encourage questions - Never tell anyone that the question they are asking is stupid. Never tell anyone that they should already know something.

* If you don't know, say so. - Don't answer just to have an answer. When the truth comes out you will lose that person's trust.

Evaluating Your Communication Skills:

How well do you communicate? Do you express yourself clearly? Does your body language support what you are trying to say? Are you a good listener? Analyze your communication style by choosing between the statements below. The number three represents the positive end of the statement and the number one represents the negative end. If you are somewhere in between, choose number two. If you are not sure of your own style, choose number two.

I try to put forward a good image of myself when I speak.	3	2	1	I am not concerned about the image I am presenting when I speak.
I always listen for more information to let me know if my first impressions are correct.	3	2	1	I believe that a first impression is always the most reliable.
I enjoy learning new words and enlarging my vocabulary.	3	2	1	I like the way I talk and I have no intention of enlarging my vocabulary.
My choice of words and phrases is always clear and can be understood by the people to whom I am speaking.	3	2	1	People are not always sure of my meaning when I speak.
I look directly at people when I speak.	3	2	1	I look away from people when I speak.
I don't use meaningless expressions or slang.	3	2	1	My speech is full of meaningless expressions and slang.
My personal appearance conveys a good impression of me to others.	3	2	1	My personal appearance is nobody else's business.
I use my surroundings at work to convey a good impression to others.	3	2	1	I don't know how I could use my surroundings at work to convey an impression to others.
I alter the intensity of my listening depending on the situation.	3	2	1	I listen to everything in the same way.
I listen to everyone at work regardless of my personal feelings about the speaker or his or her ideas.	3	2	1	If I have no regard for the speaker, or his or her ideas, I tend not to listen.

I watch a speaker's body language as a clue to what they are saying.	3 2 1	I don't bother with body language when I am listening to someone.

Scoring:

29 and above	=	very good communication skills
25 to 28	=	fairly good skills
19 to 24	=	average skills
11 to 18	=	below average skills

Questions about Communication:

Use this evaluation to identify questions about communications. For instance, what methods of communication are used in your work unit? What methods have worked well in the past? What methods have worked poorly in the past? Are there members of the work unit who need improvement in their communication or listening skills?

blank

COUNSELING

Performance Objective:	Whenever possible, supervisors will correct unacceptable employee behavior by face to face verbal counseling.
Learning Objective:	Supervisors will be aware of the rules of verbal and written counseling.

Definition of Counseling:

Counseling is a face to face conversation between the supervisor and the employee. The purpose of counseling is to correct unacceptable employee behavior. The conversation should focus on changing the behavior rather than on blaming the employee.

Counseling can benefit all parties by avoiding the severe consequences of unacceptable behavior that are part of DISCIPLINE. Discipline can involve penalties, demotion, and dismissal. The supervisor does not carry out discipline and should never threaten an employee with discipline in a personal way. Discipline is carried out by the Employee Relations Bureau at an agency level.

The supervisor may be called on to recommend discipline for specific acts of misconduct. Supervisors should let employees know when and if specific unacceptable behaviors could lead to discipline.

Counseling can make an employee aware that a certain behavior is unacceptable at work. The employee may be innocently unaware that his or her behavior is not appropriate.

Early counseling can save the time of trying to correct a problem that has gotten out of hand. It can also uncover issues that are causing problems of which the supervisor is unaware.

Workplace problems should be solved at the lowest possible level. This means that the supervisor should strive to maintain employee productivity through normal communications and coaching. Your work unit should also know that you will use counseling when it is necessary and that you have the skill to use counseling in a non-punitive manner.

Sometimes employee performance declines to the point where the supervisor must take action. The supervisor must decide when this point has been reached. Signs that employees need counseling could include the following:

▸ Increased absenteeism (unexplained or unexcused)

▸ Unsatisfactory productivity

▸ Missed deadlines

▸ Sloppy work, carelessness or accidents

▸ Inability to get along with supervisors or fellow employees

▸ Tardiness in reporting to work

▸ Complaints from the public

▸ Unpredictable, inappropriate or unexplained changes in behavior or appearance

▸ Unexplained absence from the work site during the workday

The face to face counseling **interview** is a necessary step in the counseling process. A counseling **memo** does no more than document that a counseling interview has taken place. **The memo never replaces the interview.**

The supervisor has two general concerns in conducting a counseling interview:

Maintenance:	Supporting the employee while he or she recognizes a problem and then seeks to solve that problem.
Task:	Stating or reaffirming the rules, policies, needs, and obligations of the agency and the work unit.

The rules of counseling come from contracts and agreements between the State of New York and the labor unions that represent employee bargaining units. Supervisors must observe the rules of counseling. This is an area of supervisor-subordinate contact that is not open to improvisation.

The key steps in a counseling interview are:

1.
Hold the session in private and during a time when you will not be rushed.

2.
Explain directly the exact nature of the concern. Make clear what has been observed and why it is important.

3.
Allow the employee the opportunity to tell his/her whole story, making sure that you hear him/her out.

4.
Assure the employee of your interest. If appropriate, offer your assistance in resolving the problem.

5.
Reach an understanding on corrective actions both of you will take. Set a definite follow up date.

Counseling Interview Role Plays:

The following cases are typical situations in which counseling would be necessary. Read through them and consider how you would conduct each counseling session. Refer back to the rules of counseling to make sure that you have included each of the steps in your thinking. If you have the opportunity, discuss these cases with your supervisor or other mentors. If you are using this manual with a class, try role playing some or all of these cases with other students.

CASE 1: **Foul Language**

Jim Kovacs is an HMW1 on your crew. You order Jim to bring rubber boots with him in your truck to deal with a job that involves some localized flooding. Jim asks you about hip waders. He says you promised to supply waders to the crew. Jim says that the crew needs waders rather than rubber boots. You vaguely remember discussing waders but you cannot recall exactly what you said about them. When you tell this to Jim, he curses at you using the most foul language you have ever heard.

You ask Jim to step away from the rest of the crew. You intend to talk to Jim about his abusive language. Jim's problem about the waders is interesting, but it is not the problem you need to solve immediately. Jim's abusive language has gone beyond what you can tolerate because it is beginning to affect the productivity of your crew.

Notes for Jim: You believe that your supervisor made a commitment about the waders. You believe that you are underpaid for your hard work and you are resentful about not getting the promised equipment.

CASE 2: **The Stinker**

Frank is a Bridge Repair Assistant on your crew. He is 54 years old and has 19 years of experience with the State. For the past two months Frank's co-workers have reported an increasingly bad body odor coming from him. Although Frank is very quiet and shy, they like him personally. However, they have physically kept their distance from him and now find it impossible to stand close to him. The snide and cutting remarks directed toward Frank are getting more and more negative. You are his supervisor and have appreciated his thorough and conscientious work.

You have decided to talk to Frank desk to settle this problem.

Note for Frank: You are unaware of any odor problem. You do a good job and don't like other people bothering you.

CASE 3: **Sick Leave**

Anaida Ariza has called in sick on four of the last six Fridays. Anaida is a good worker and is enthusiastic about her job. She has never explained to you why she called in sick on these days.

You have called her into the office to discuss this.

Note to Anaida: You are a single parent of two children, ages one and three. Child care arrangements have not always been easy for you. You are also trying to earn a college degree by attending classes at night. You have plenty of sick leave accruals and your work is always up to date.

CASE 4: **Card Play**

Dick Smith and Osman Murat are playing cards in the truck. When they see you, they assure you that they are not gambling. They tell you that they will get back to work in just a second when they finish the hand.

You ask them to step out of the truck so that you can settle this.

Notes for Dick and Ozzie: You put a lot of energy into your jobs and your work is always done on time. You find that card playing breaks up the monotony of the job.

Case 5: **Practical Jokes**

Charlie Warren is a joker. Sometimes his jokes go too far. Today Charlie heated a small piece of metal on a grinder while wearing gloves and handed it to Mary Ann. Mary Ann was burned but not badly. She has complained to you about this incident.

Notes for Charlie: You didn't mean anything by that. You were just joking.

Case 6: **A Quick Temper**

Mike Schmidt has a quick temper. He is also one of your most productive workers. Today you asked him to do a dirty clean up job because you needed it done well. Mike became visibly angry and muttered some curses. As Mike walked over to the job you see him pushing Taylor Martin out of his way. Taylor doesn't complain about this because: "That's just the way Mike is."

Notes for Mike: Every time there's a dirty job to do, you get stuck with it. Why doesn't anybody else ever have to the dirty jobs? Why is it always you? Don't they like you? Are they laughing at you behind your back? Doesn't it make you mad?

Points to remember:

The supervisor must always support the employee while he or she is trying to recognize the unacceptable behavior.

The interview should focus on changing behavior and should not degenerate into blame and name calling.

The supervisor should keep the conversation from wandering.

Evaluating Your Counseling Skills:

How are your interpersonal communication skills? The following statements can be used to analyze communication skills that are basic to **counseling**.

Number one represents the negative end of the statement and number three represents the positive end. Number two indicates that you are somewhere in between the extremes, or that you are not sure how this applies to you.

I can talk to people about unacceptable behavior without getting angry or upset.	3	2	1	I hold back my criticism of others so that I won't become angry or upset.
I notice how people react to me when I talk with them.	3	2	1	I don't pay attention to people's reactions when I talk with them.
If I don't understand what someone is saying, I will ask them to explain.	3	2	1	I pretend to understand what people say to me, even if I don't.
I am able to get people to talk to me openly and comfortably.	3	2	1	People are not comfortable talking to me. I make them feel defensive.
I want to know how others feel about me. I ask people about their reactions to me or to my ideas.	3	2	1	I don't concern myself with what other people think about me or my ideas.
I will give my opinion regardless of the other person's job title or grade.	3	2	1	I am reluctant to disagree with other people, particularly if their job title and grade is "higher" than mine.
I know how to make people feel comfortable even when I am discussing something serious.	3	2	1	I can't put people at ease if I have to discuss something serious with them.
I will always praise people for good work.	3	2	1	I don't praise people for just doing their jobs.
I only criticize people when it is necessary, or if they ask for my advise.	3	2	1	I point out mistakes whenever I see them.
When someone is acting in an unacceptable way, I will point this out politely but firmly.	3	2	1	I don't like to get involved in confronting people about unacceptable behavior.

<u>Scoring</u>:

27 and above = very good counseling skills
24 to 26   = fairly good skills
21 to 23   = average skills
10 to 20   = below average skills

Questions about Counseling:

Based on your answers to this self-assessment, do you have any questions for your supervisor or mentors about communication and counseling? Are you aware of any communication problems that exist in your unit? Ask your supervisor if your work unit has any specific procedures for writing and sending counseling memos beyond what you have learned here.

The Counseling Memo:

Sometimes the supervisor may feel it necessary to reinforce a verbal counseling session with a memo to the employee. Some reasons for such action are: to clearly set out future expectations, to point out an unacceptable behavior that <u>has not</u> been modified by discussions, or to highlight the significance of a particular incident. In general, if the supervisor and the employee do not reach <u>agreement</u> in the counseling session about the nature of an unacceptable behavior, or the need for change, a memo may be necessary.

Before writing a counseling memo, the supervisor should carefully consider the need for this action and let his or her own supervisor know that a memo will be written. Not all incidents require counseling, and not all counseling requires a memo. Writing a memo signals a level of formality that is not part of normal communication with an employee.

If you are going to follow up the counseling session with a counseling memo, you should inform the employee of your intent during the counseling session.

Once you decide that a follow-up memo is appropriate, the format should follow that of the discussion itself. It should describe the problem or incident, address the employee's position, and clearly establish expectations for the future. Such a memo is nothing more than an underscoring of the key points of the discussion that has already taken place.

Counseling memos are addressed to the employee. The supervisor must ask the employee to sign or initial a copy to acknowledge receipt. That copy is then sent to the Personnel Office for the employee's Personal History File. Signing or initialing a copy of a counseling memo does not mean that the employee agrees with the content of the memo; it merely acknowledges receipt.

Key Elements in a Counseling Memo:

1.	Supervisors must first determine the need for a memo and should seek higher level advice when necessary.
2.	The memo should show that a face-to-face discussion took place.
3.	The memo should contain a complete description of the problem or issue causing the counseling interview.
4.	The memo should contain a statement of the employee's position.
5.	The memo should contain a statement of expectations for the future and, where appropriate, a period for supervisory follow-up.

Counseling Case Study:

The Taxpayer Abuse Case

Circumstances: Mary Matthews is a supervisor in the Tax Department. She discovers that one of her subordinates, Randy Jefferson has been verbally abusive to members of the public. Specifically, Randy was rude yesterday to two elderly people. He had difficulty understanding the accent with which they spoke English. The two elderly people became upset and refused to leave when Randy was finished with their problem. Randy is generally a very reliable and honest employee.

[In Supervisor Matthew's office]

Matthews:
Hello, please come in and sit down.

Jefferson:
Sure. [*enters and sits down*]

Matthews:
I asked you in here to discuss the incident that took place yesterday between you and Mr. and Mrs. Koch.

Jefferson:
What about it?

Matthews:
I understand that you lost your temper with them yesterday and started yelling at them.

Jefferson:
Who's feeding you that kind of crap? Was it Bud? Did he tell you?

Matthews:
That's not important. I'm concerned about the situation itself.

Jefferson:
It doesn't seem to me that it's any of your business.

Matthews:
Of course it is. We are all responsible for how this office treats the public. It is my responsibility as a supervisor. I'm accountable for my relationship as well as your relationship with the public.

Jefferson:
Look, leave me alone. I've worked hard at this job. So, I lost my temper. I was a lot nicer to them than they deserved.

Matthews:
If you were nicer to them than they deserved, how does that compare with the information you were given during your introduction to this department? Do you recall what was given to you about dealing with the public?

Jefferson:
I don't know and frankly, I don't think I did so badly.

Matthews:
Then why don't you tell me what happened?

Jefferson:
Well, I was in a hurry to finish the day. I finished with them and they wouldn't leave. They insisted I was cheating them. They just sat there and wouldn't move, saying I was stealing their money. I just couldn't take it anymore.

Matthews:
I know that's a frustrating situation. However, this has happened before and we talked about it. You said you would make an effort to deal with these situations in a more effective way.

Jefferson:
I tried, but I just couldn't seem to get through to them.

Matthews:
All right. Next week there is going to be a training class on dealing with the public. Why don't you plan on attending? I want you to talk with Mrs. Pope. In fact, I'll assign you to her for a few days. She handles the public very well and she can give you some tips about what works with people. I think you could learn a lot from her.

Jefferson:
I'll try and see how it works.

Matthews:
Let me leave no doubt in your mind, Randy, that this is a part of your job that has to improve. This unit's standard on public relations is firm. We think dealing with the public in a positive manner is very important. I will send you a memo summarizing what we've talked about today. This memo will outline the steps to which we've agreed. These steps will help you learn to deal with the public in a positive and effective manner. The memo will let you know exactly what I expect of you.

Jefferson:
I don't think I deserve to be disciplined just for this.

Matthews:
First, a counseling memo is not discipline. Second, I am not free to impose discipline against you. The memo will be nothing more than a summary of what we discussed this morning. My concern is that you improve your performance. You are a good employee in other respects, but this is a serious issue. If you fail to improve, you might find yourself involved in a disciplinary action someday. I want to avoid that.

Jefferson:
All that doesn't make me happy, but I'll do my best to deal with the problem.

Matthews:
Fine, and if you have any questions about any of this, see me. I want to help you work this out. I'll be checking with you periodically to see if you have resolved this.

This <u>Sample Counseling Memo</u> below was adapted from materials developed by Antone Aboud for a NYS training course on Counseling in 1980. It can be followed as an example of form.

To: Randy Jefferson

From: Mary Matthews

Re: Counseling Interview of April 10, 1996

Date: April 11, 1996

This memo is a summary of our discussion in my office earlier today about your behavior when dealing with Mr. and Mrs. Koch.

Mr. and Mrs. Koch complained that you lost your temper and started yelling at them. You confirmed their report explaining that they accused you of cheating them and when they wouldn't leave, you couldn't take it any more.

We did not come to a definite agreement about how seriously your behavior differed from what I expect of you. We did discuss the information given to you in orientation about how to deal with the public. We agreed that you would attend an in-service training seminar "Dealing with the Public." It will be held next Thursday starting at 8:30 a.m. Also, I have assigned you to Mrs. Pope for the period Wednesday through Friday of next week.

I am confident that taking the training course and working with Mrs. Pope will improve your public contact skills. Let's meet in two weeks to see if these activities have been helpful to you.

Thank you for coming in and discussing this. Please contact me if there are other ways I can be helpful to you.

cc: Personnel: for Personal History Folder

Received by: _____

date: _____

Developing Employee Skills

Performance Objective:	Supervisors will provide or arrange for training so that employees will be able to perform the tasks required of them.
Learning Objective:	Supervisors will understand and practice the appropriate instructional and coaching techniques necessary for developing the job skills of their employees.

blank

Explaining Work

Skilled performance looks effortless. Once you get good at something, it looks easy. It's hard to see all the things that a skillful operator is doing. His or her movements flow together into a smooth operation.

People don't usually enjoy picking apart "how they do things." Once you master a skill and it becomes "automatic" your attitude toward it changes; you don't want to revisit the difficulties you overcame to learn the skill. You really have to force yourself to think about all the little steps that built up to a skill. But, if you leave something out when explaining any work operation, you are creating a stumbling block for the trainee.

As a supervisor, it will often be your job to explain work to new employees.

1. Describing the Job - Start with the <u>Results</u>

Begin your explanation of any job by describing the end results.

What is the job supposed to accomplish? The crew members need to know <u>why</u> they are doing the job. Let them know what the job is designed to accomplish so that they will know where your explanation is going.

Then, as far as it's practical, trace the operation backward through the steps of the job so that the trainee understands the <u>cause and effect</u> relationships of each step. By using this reverse method, the trainees are always in touch with the objectives of the training; they always understand why they are learning something. And, they learn things in terms of a flow rather than in terms of isolated steps.

2. Find the Skill Levels

In breaking down the steps of a job, look for the level at which the trainee can master a skill. This is called the "task" level.

Let the trainee repeatedly practice tasks until they've mastered skills. For instance, moving the front end loader into a pile and scooping a bucket load of material is one of the tasks that make up the job of loading trucks. Filling the loader bucket can be practiced in the yard to develop a skill. It requires the coordination of several actions in a purposeful way. It has an end result: a bucket full of salt, ready to be loaded. By contrast, things like pulling a hydraulic lever, or turning a wheel, are too simple to require practice. There is no "skill" at that level. Finding the skill level and setting up practice for the learner at the skill level is the key to training. Let people practice whole tasks and they will develop skills.

Also, you can see skills. You can tell if a person is performing a task smoothly and under control. This helps you evaluate competent performance.

3. Guide the Practice of Each Task

Skill is achieved by practicing a task until it becomes familiar.

In future performance, the operator will tend to perform a task the way he or she has initially practiced it. Therefore, the supervisor should watch the operator's initial practice closely. Make sure that the task is being performed in a smooth and efficient way. If the operator has missed something in the initial explanation of a task, this can be seen in initial practice. If the operator is doing something awkwardly, or something that has no purpose, you should intervene quickly before that person has time to learn the task the wrong way. Don't wait until they have built up bad habits and gotten to like doing it the wrong way. Be supportive in making corrections. Don't convey the impression that you are forcing the operator to do things your way just because you're the boss. Reinforce the correct procedure by explaining the reason or results of doing things the right way.

4. Reinforce Success

Learning a skill should be enjoyable. People learn a lot faster if the learning process is fun. Compliment the operator when you see that the skill has been mastered. Play a cheerleader role and celebrate the operator's achievement. Let the operator know that you value the new skill and they should also. You wouldn't want to take this to ridiculous extremes because the operators might mistakenly think you were mocking them. But, it is necessary to let the trainee know that they have achieved something of value. If you leave out this step, people will find it very difficult to learn from you.

Coaching

1. **Trust** - You have to be able to trust your coach.

2. **Motivation** - A coach will help you find your own reasons for wanting to do things.

3. **Observation** - A coach must be willing to put in the time and concentration of observing the learner's progress with a "critical eye." This doesn't mean fault finding. This means empathetically figuring out what you need to know and how you need to develop.

4. **Feedback** - A coach offers honest comments on your job performance and learning needs. There is a skill to doing this without hurting anyone's feelings. The coach needs to develop the ability to identify those "tasks" that you need to concentrate on to develop your skills. The coach should concentrate on key skills areas that will have maximum effect. The coach doesn't overwhelm you with trivia; what your coach points out is significant. If you need a push to take that first jump, the coach is someone you trust enough to give you that first push.

5. **Choices** - A coach points out the consequences of the choices you are making. If you choose not to develop a certain skill, the coach will point out the limitations you are accepting for yourself.

6. **Reinforcement** - The coach celebrates accomplishments. Because coaching is personal, your coach feels the satisfaction you take in accomplishments.

Training Tips:

- Explain the Basics

Why should operators bother to check the oil on a machine if they don't understand the principle of friction? Why should operators bother to check the coolant if they don't understand what heat does to an engine?

Be prepared to stop and explain basic mechanical principles.

- Allow for a different pace of learning in each individual

People learn at different rates. This is why DOT allows more than one attempt at certification evaluations.

Within the logical limits of operational necessity, if the learner needs to go over the instructions again, go over them again. Don't impose your personal expectations on them. That would only damage their faith in you as a coach.

Small Group Exercises

In a discussion group, pick one of the jobs below and discuss how you will cover the four steps of crew skills development:

(1) How will you explain the job in a tail gate or shop session?
   (Start with the end results - the goal. Then work backward through the steps that get you to that result.)

(2) What are the key skills?
(How will you focus the learner's attention on the actions or judgments that build smooth performance?)

(3) How will you arrange practice?
   (How will you find time for the employee to practice or observe? If you are setting up simulated conditions in the yard, how are you going to do it? If you are going to set up learning assignments on the job site, how are you going to do that?)

(4) How will you reinforce success?
         (How will you let them know when they are doing things right?)

Maintenance Jobs:

1. Mowing roadside - choose any type of mower except the over-the-rail

2. Striping a curved section of road

3. Installing new or replacement signs

4. Constructing wooden forms for concrete work on bridge abutments

5. Patching pot holes

6. Repairing a head wall around a culvert

7. Cleaning a stream bed

8. Repairing damaged guide rail

9. Clearing snow with a snow blower

10. Repairing damaged bridge joints

11. Grading a section of road with a grader

12. Cutting up a downed tree with a chain saw

13. Paving a straight section of road with a paver

14. Setting up a safety work zone in preparation of any roadside operation

15. Loading truck hoppers with salt

16. Cleaning out enclosed drainages with a sewer cleaner

blank

Performance Evaluation

Performance Objective:	Supervisors will use the performance evaluation system to set tasks and standards for the employee's job, plan the employee's development, and rate the employee's performance against the appropriate standards.
Learning Objective:	Supervisors will understand the purposes and steps of the performance evaluation system. Supervisors will be aware of the planning that needs to be done with their supervisor or second line supervisor to implement performance evaluation.

The Purpose of Performance Evaluation is to:

Let people know where they stand,

identifying training and development needs,

and providing information for organizational decision making.

As a first line supervisor, you must set tasks and standards and evaluate the performance of your subordinates. You must also <u>communicate</u> those tasks, standards and evaluations to the employee and to management. The following information explains your role in this process.

New York State has agreements with the Civil Service Employees Association (CSEA) and the Public Employees Federation (PEF) that mandate a performance evaluation for every employee at regular intervals. M/C employees are evaluated under a similar program. There are different schedules and procedures that must be followed for different bargaining units, but the concept is the same for all employee groups.

Supervisors will be supplied with the appropriate forms by their work units and the Personnel office. The forms are also available on the IntraDOT.

All Performance Evaluation systems have the following three areas in common:

1. **Setting up a Performance Program:** Defining the specific tasks that are part of the employee's job, setting measurable standards for how those tasks are to be performed, and communicating expectations about performance to the employee and to management.

   To help you set performance standards, look to the key measurement areas of your work. What are the important factors of measurement in your unit? Traditional measurements include timeliness, accuracy, customer satisfaction, adherence to budget, and other tangible concerns. You can find the appropriate measurement by considering the nature of the employee's work.

2. **Development:** Working with the employee to allow him or her to competently perform their job tasks. This could involve coaching, O-J-T, redesigning tasks, solving problems, and arranging opportunities for practice and/or training.

3. **Rating:** Rating the employee's job performance by comparing actual performance to agreed on standards, review of the first line supervisor's rating by a higher level supervisor, and communication of that rating to the employee.

The Performance Evaluation Schedule:

All performance evaluation systems currently in use by New York State follow a similar schedule:

The supervisor and the employee discuss tasks and standards at the beginning of the evaluation period. This discussion must happen within a reasonable amount of time at the beginning of the period. It should occur as a face to face conversation with the employee. It may also include the employee's written comments. The supervisor must try to reach agreement with the employee on tasks and standards, but he or she must also communicate performance expectations to the employee in a direct manner. The results of this discussion are entered on the appropriate form, reviewed by a higher level supervisor, and given to the employee.

Do not leave the establishment of tasks and standards to the end of the period because employees cannot be evaluated against standards of which they haven't been aware.

Supervisors must implement necessary and/or agreed on development measures such as training, practice opportunities, and coaching during the rating period.

Mid-term reviews and checks may be mandated in some evaluation systems.

The supervisor rates the employee's performance at the end of the period. A second line supervisor reviews the rating. The supervisor communicates the rating to the employee in a face to face conversation. The employee is given a written copy of the evaluation on the appropriate form. Copies of the evaluation are sent to the Personnel Officer for the employee's personal history file. The supervisor and employee then establish tasks and standards for the employee's work in the period that follows.

Techniques for conducting Performance Evaluation discussions with employees:

*   Focus on observable behavior, not on personality traits. Describe specific activities. Maintain good relations with the employee. Support the employee's morale.

*   Describe tasks and standards in terms of what you and the work unit need from the employee. Avoid describing tasks and standards in terms of what the employee "should" be doing.

The Rater/Reviewer Team:

The first line supervisor conducts the face to face discussions that are needed at each stage of performance evaluation. However, the first line supervisor is <u>not</u> the final authority in setting a performance rating. The supervisor is always part of a rating team with the second line supervisor or manager who reviews the tasks, standards, and rating.

The Appeals Process:

Each performance evaluation system has an appeals procedure through which employees can appeal unsatisfactory ratings. Should you need to become involved in an appeals procedure, your supervisor and Personnel Office will advise you on the steps to take.

Probation:

In addition to the performance evaluation system, newly hired or promoted employees are evaluated by their supervisors through the probation system. The probation system is similar in some respects to the performance evaluation system, but the purposes, procedures and forms are different. If you are supervising a probationary employee, you will be advised by Personnel and your supervisor of the necessary steps. Probationary employees are evaluated by using <u>both</u> systems: probation and performance evaluation.

Check the NYSDOT publication, <u>Supervising the Probationary Employee</u> , available at:

P:\Office of Operations\Transportation Maintenance\Training Manuals\Probation.

Questions about Performance Evaluation:

Ask your supervisor about the specifics of the Performance Evaluation systems that apply to the employees you supervise. Ask your supervisor to review your plans for holding discussions with your employees on the setting of tasks, standards and ratings.

MANAGING DIVERSITY

Performance Objective:	Supervisors will develop the capacity of their work units to accept, incorporate, and empower diverse human talent. Supervisors will administer procedures for reasonable accommodation requests. Supervisors will avoid or correct instances of discrimination.
Learning Objective:	Supervisors will understand both their diversity goal and the reasonable accommodation process. Supervisors will recognize instances of discrimination.

<u>**Managing Diversity**</u>:

The Department of Transportation has a great asset in the diversity of its work force. This diversity reflects the population of our state. New York State is a crossroads of commerce and immigration and has benefited from the backgrounds, experiences and contributions of many different people and groups.

We need to involve all DOT employees in the Department's efforts. The first-line supervisor has an important part in managing the diversity of our work force. The supervisor's responsibility is to:

> ***<u>Develop our capacity to accept, incorporate, and empower our diverse human talents.</u>***

   A benefit of achieving this goal will be the ability to understand and serve our diverse customers.

Jeopardies that threaten this goal are:

♦ Incorrect assumptions about diverse cultures.

♦ Gender bias related to work roles.

♦ Expectations that others will conform to our preconceptions.

♦ Biases against the unfamiliar.

♦ Conflicts between our values and values held by others.

♦ Language problems that lead to misconceptions and misinterpretations.

♦ Disabilities with which you, the supervisor, are unfamiliar.

♦ Sexual Harassment

If you feel that any of these jeopardies are beyond your ability to handle, seek the advice of your supervisor, mentors, or the Affirmative Action Office.

The Americans with Disabilities Act (ADA)

When it is apparent that an employee has a disability that affects his or her ability to perform assigned tasks, the supervisor should let the individual know that there is a process by which he or she can request a reasonable accommodation for that disability.

DOT has a form, "Appendix A," that disabled employees must use to request a reasonable accommodation. There is also a form, "Appendix C," that is used to request medical documentation of the disability. It is the job of the supervisor to provide these forms to disabled employees, and to transmit them to the Affirmative Action Office through supervisory channels. When the forms are needed, the supervisor can get them from the residency or regional office, Personnel, or the Affirmative Action Office. Appendix A is also available on the IntraDot .

If supervisors are able to provide reasonable accommodations themselves; they may do so. For example, a special tool might be needed by a person with a missing limb or a missing finger. If that tool is readily available to the supervisor, the matter can be handled within the unit. The supervisor must then report the accommodation through supervisory channels.

If it is not immediately possible for the supervisor to make an accommodation, he or she passes on the request to higher authority and guidance will then be provided by management and the Affirmative Action Office. The Department may be able to provide an accommodation that is not available to the first line supervisor.

The requirement for this stems from the Americans with Disabilities Act (ADA) of 1990. The ADA mandates that all reasonable efforts will be made to allow disabled people to become productive employees. It also prohibits discrimination against disabled people. Compliance with this federal law is crucial to the Department's efforts to get federal funding for its operations. Therefore, the reporting requirement outlined here is in everyone's interest.

There is more information on the Americans with Disabilities Act in the DOT Manual of Administrative Procedures, 2.19-2. and on the IntraDot .

Identifying Discrimination:

Supervisors need to recognize situations that could contain acts of discrimination. The supervisor is responsible for avoiding discrimination in the work unit. Read the situations below and consider how they might contain acts of discrimination.

Discrimination is the failure to treat similarly situated individuals equally. Discrimination could include the unequal treatment or categorization of persons based on any of the following factors: race, color, gender, religion, age, physical or mental disability, national origin, marital status, or Vietnam-era veteran status. Discrimination could be an action that has the effect of disparate treatment for any of the classes listed above. Unlawful discrimination may be either intentional or unintentional.

Directions: For each of the following situations, answer these questions:

(A) **Do you observe discrimination?**

(B) **Why?**, or **Why not?**

Consider what you would recommend to this employee in terms of action, resolution, or applicable regulations. If this occurred in the unit you supervise, what steps could you take to prevent future problems of this type?

SITUATIONS:

1. A new Resident Engineer is being introduced to everyone at the residency. An HMW2, Sam Williams, introduces the RE to the crew he is leading that day. Sam begins the introductions by saying: "This is Tony Malvado. That's Mike Schmidt. This fellow is Taylor Martin. And, this is Mary Ann, the best looking member of our crew."

Answer: Yes, the comment of the HMW2 about Mary Ann's appearance is probably a reference to her gender. This singles out Mary Ann from the others who are all men. Also, the men are all given last names. The comment might also be sexual harassment depending on tone and context.

2. Sylvia, an HMW1, is fifty-five years of age, has been on the job for twenty-one years, and is eligible for retirement benefits. She has recently found out that she has been turned down for equipment training because of her age. She has been told by her supervisor, an HMS1, that it isn't worth it to train someone who is going to retire soon.

Answer: Age or potential retirement status cannot be the basis for supervisory decisions. The HMS1 might not be the original source of the decision; he may merely be transmitting a decision made by someone else. However, if he is her supervisor, his words create the environment in which Silvia works. He is liable for the work environment he creates for the crew.

> **3.** Taylor, an African-American, has received three counseling memos for drinking at lunch and missing excessive hours on the job. These counseling memos have been

based on the observations of his supervisor. Taylor claims that his co-workers, who are white, do the same thing and none of them have been reprimanded.

Answer: If Taylor's charges are accurate, and the supervisor's decision to treat the employees differently is based on race, then discrimination has occurred here. The case study gives us no other explanation for this difference in treatment. The unacceptable behavior by Taylor and his co-workers requires the supervisor to take action to correct the behavior. (see NYSDOT's Drug-Free Work Zone Policy.) Unless the supervisor counsels the co-workers, the supervisor violates Department policy and discriminates against Taylor. A supervisor in this situation would be subject to disciplinary action.

4. Daniel and Nell are maintenance employees who often work together on your crew. When they talk with each other, they speak Spanish. You are uneasy about this, so you tell them that only English can be spoken at work.

Answer: This is discrimination. If there is no job-related need to speak English, they can speak any language they want. If the supervisor decides that the work is suffering because there is too much talking going on between them, the supervisor can ask them to cut down the chatter. The supervisor cannot ask them to cut down the *Spanish* chatter.
Note: If someone cannot speak English well enough to do the job, there are excellent "English as a Second Language" classes available through the REACH program. Contact your Regional Training Coordinator.

5. Chang-Kuo, an HMW trainee, has a speech impediment: stuttering. He is often left at the residency to do clean up jobs by himself. He has asked to be assigned to road crew work that does not require spoken communication. None of the supervisors will work with Chang-Kuo because of the inconvenience of his stuttering.

Answer: This is discrimination. Chang-Kuo's stuttering is a disability that could be accommodated by his supervisors.

6. Mike, an HMW1, wears his hair long. His supervisor has told him that his long hair is a hazard around the equipment he will be using and that he has to do something about it.

Answer: This is not discrimination. The case study gives us no reason to believe that Mike couldn't change the way he wears his hair. There is no group characteristic that he could not readily change. Mike must conform to the requirements in the TMD Safety Manual.

blank

Procedures:

Supervisor's Daily Report

Accident Reporting

Performance Objective:	Supervisors will use the Supervisor's Daily Report and all Accident reporting forms.
Learning Objective:	Supervisor's will learn the acceptable procedures for filling out these forms

The Supervisor's Daily Report

The Supervisor's Daily Report (SDR), or a similar Bridge Maintenance Daily Report, is used by supervisors of residency, bridge, or regional crews to record information about the work done each day.

The information on these forms is put into the DAISY computer system by office staff, usually a Transportation Office Assistant (TOA) or Key Board Specialist (KBS.)

Supervisors and crew leaders should follow the instructions of their HMS1s and 2s, or BRS1s and 2s, in filling out the SDR.

You will sometimes hear this form called an "FDR" from the older term: "Foreman's Daily Report."

The following is a list of general instructions that will supplement the specific training you will get from your immediate supervisor. There will be some local variation in how this form is used.

1. Identification

Enter the crew supervisor's code, the date on which the tasks were performed, the organization code, and the name and title of the crew supervisor. Your supervisor's code will be available from your TOA or other office staff.

2. Task

      A: JOB: Enter a job number for each task performed. The job number ties in each task performed with its associated charges for labor, material, equipment, location and accomplishment. If more than one task is performed during the work day, a new job number is assigned to each.

      B: TASK CODE: Enter the appropriate Task Code that identifies the work being performed. A complete list of currently valid task codes is available in the office of your residency or bridge shop on DAISY. A more detailed description of tasks is available on the IntraDot at the TMD site.

Please note that the task codes that may be found on the back of older SDR forms, *R 312a (2/88),* are out of date and should not be used.

C: DESCRIPTION: Enter a brief, but specific description of the task being performed.

3. Accomplishment

Enter the amount of work actually completed for each task performed. Amounts can be expressed in tenths. Each task has its own unit of accomplishment in which it is measured. Enter the task units of measure as shown in Task Codes lists from DAISY or the DOT Internet Web Site.

4. Reference Marker Location

In the LOC column, enter either **M** for a reference marker (mile marker) nearest the beginning of the job, or **B** for a Bridge Identification Number (BIN).

See the sample SDRs on the following pages for examples of how to enter reference marker numbers.

If the same task is performed in more than one location, each location must be entered as a separate job using the appropriate reference marker numbers.

There are some maintenance operations for which reference marker numbers are not recorded. Examples of this include some snow and ice tasks such as plowing a beat and some pavement marking tasks. For these tasks enter the route number only. Your supervisor will let you know which tasks do not require the recording of complete reference marker numbers.

5. Work Crew

Enter the work crew regular time person-hours (RT) and any overtime person-hours (OT) worked. This should include all of the safety activities that are part of doing regular jobs such as safety zone set-up and removal, flagging, setting out variable message signs, and operating shadow and moving maintenance vehicles.

The column labeled "Safety Crew" is no longer in use and should be X-ed out as on the sample forms below.

6. Material Description

Enter the job number corresponding to the task performed for each material used in performing a task.

Enter the material code. Enter the amount of material used in the amount column. The amount can be expressed down to one-tenth of a unit. Material codes, descriptions of materials and units can be obtained from your TOA or other office staff.

If the material used is not preprinted on the form, or the same material code is used for a second task, use one of the blank spaces provided at the bottom of the block.

7. Equipment Description

For each type of vehicle used in performing a task, enter the corresponding job number, equipment code, and the number of hours the piece of equipment is committed to the job. If the equipment is not preprinted on the SDR or more than one task is performed using the same equipment type, enter the additional equipment in the blank spaces provided on the SDR.

The equipment ID number should be listed if available.

The equipment code corresponds to the Group Code for equipment in the Equipment Management Division's equipment inventory. A complete list of codes available for use on the SDR can be obtained through DAISY or from your TOA or other office staff.

8. Crew Members

Enter the name of each crew member with his or her time and attendance information.

When a crew member is on leave, the type of leave accruals he or she is using must be indicated. Even when a crew member is on leave for an entire day, his or her use of leave time must be accounted for on the SDR or Bridge Maintenance Daily Report of some supervisor or crew leader.

Information entered in this section is used to complete the Supervisor's Time and Attendance Report (STAR.)

9. Remarks

Enter any additional information that you believe to be necessary in the remarks block, or on the back side of the form.

The next two pages are sample SDRs.

R 312a (2/88)

| SUP. NO. 540 | NEW YORK STATE DEPARTMENT OF TRANSPORTATION HIGHWAY MAINTENANCE DIVISION SUPERVISOR'S DAILY REPORT | DATE 9-23-04 | ORG. 354 | NAME SAM WILLIAMS | TITLE HMW2 | REMARKS |

Task / Accomplishment / Work Crew / Safety Crew

JOB	CODE	DESCRIPTION	AMOUNT	UNIT	LOC.	ROUTE NO.	REF. MKR. NO.	WORK ORDER	WORK CREW RT	WORK CREW OT	SAFETY CREW RT	SAFETY CREW OT
1	4F61	MAINTAIN GUIDERAIL	90	LF	m	9W11082057			40			

4 = Regular
7 = Interstate

M = Ref. Mkr. No.
B = Bridge No.

Bridge No.

| TOTALS | 40 |

Material

JOB	DESCRIPTION	CODE	AMOUNT	UNIT
	Liquid Asphalt			Gals.
	Crushed Stone			Tons
	Bit. Winter Mix			Tons
	Plant Mix			Tons
	Pipe Size ___			L.F.
1	Guide Rail	L40	90	L.F.
	Gravel			Tons
	Salt			Tons
	Winter Sand			Tons
1	BREAKAWAY POSTS	L60	5	

Equipment

JOB	DESCRIPTION	I.D. NO.	CODE	HRS.
	Pick Up Truck			
	Pick Up Truck			
1	Dump Truck TRAILER	934027	B87	8
	Dump Truck			
	Dump Truck			
	Dump Truck			
1	Stake Truck	935016	B55	8
1	Front End Loader	914017	E31	8
	Grader			
	Gradall			
1	AIR COMPRESSOR		C59	8
1	POST POUNDER		MMM	8

Crew

JOB	CREW MEMBERS	REG. HOURS	OT HOURS	LEAVE HOURS	IN TIME	OUT TIME
1	TONY MALVADO	8			07:00	15:30
1	MIKE SCHMIDT	8			07:00	15:30
1	TAYLOR MARTIN	8			07:00	15:30
1	MARY ANN RADETSKY	8			07:00	15:30
1	SAM WILLIAMS	8			07:00	15:30
					TOTALS	40

R 312a (2/88)

| SUP. NO. | | NEW YORK STATE DEPARTMENT OF TRANSPORTATION HIGHWAY MAINTENANCE DIVISION SUPERVISOR'S DAILY REPORT | DATE 6-27-04 | ORG. 874 | NAME JOHN MARINO | TITLE HMS 2 | REMARKS |
| 740 | | | | | | | |

MANUAL MOWING: TRUCK BACKING UP MOWING OPERATION

		TASK		ACCOMPLISHMENT		LOC	REF. MKR. NO.		WORK ORDER	WORK CREW		SAFETY CREW		
JOB	CODE	DESCRIPTION		AMOUNT	UNIT		ROUTE NO.			RT	OT	RT	OT	
1	4A11	MANAGE FIELD OPERATION								8.00				
2	4F65	MAINTAIN BOX BEAM RAIL		365	LF	M	209	860310021021W		20.00				
3	4E25	MOW RURAL ARTERIALS, ROADS		5	SM	M	55A	860210281E25W		8.00				
4	4E05	REMOVE DEAD DEER		3	EA	M	209	860310181999P		8.00				
5	4E08	REMOVE DEBRIS		9	ES	M	52	860211021018W		12.00				
6	4E26	MANUAL MOWING		4	EL	M	209	860310011E26W		8.00				
7	4E91	TREE REMOVAL NO TOPPING		2	EA	M	44	860111231V01			16.00			

JOB 7: RECALLED 2100 HRS TO 2400 HRS FOR TREES ON PAVEMENT

| 4 = Regular | M = Ref. Mkr. No. | Bridge No. | TOTALS | 64.00 | 16.00 |
| 7 = Interstate | B = Bridge No. | | | | |

	MATERIAL				
JOB	DESCRIPTION	CODE	AMOUNT	UNIT
	Liquid Asphalt			Gals.
	Crushed Stone			Tons
	Bit. Winter Mix			Tons
	Plant Mix			Tons
	Pipe Size ___			L.F.
2	Guide Rail 6X6 BOX BEAM		365	L.F.
	Gravel			Tons
	Salt			Tons
	Winter Sand			Tons
2	POSTS		25	EA

	EQUIPMENT				
JOB	DESCRIPTION	I.D. NO.	CODE	HRS.
1	Pick Up Truck	944332	B11	8.00
2,4	Pick Up Truck	924057	B11	4/4
2,5	Dump Truck SMALL	864267	B19	4/4
4	Dump Truck	914237	B23	8.00
2	Dump Truck	955112	B23	4.00
2	COMPRESSOR	8880543	C59	4.00
2	LOADER	997007	E31	4.00
7	CHAIN SAW		687	4.00
3	MOWER	897095	E67	8.00
	Gradall			

		CREW MEMBERS	REG. HOURS	OT HOURS	LEAVE HOURS	IN TIME	OUT TIME
JOB							
1,7	JOHN MARINO		8.00	4.00		07:30	16:00
2,5	JANE SMITH		8.00			07:30	16:00
2,5	JOHN DOE		8.00			07:30	16:00
6	PETE SCHMIDT		8.00			07:30	16:00
2,4	GENE PISARCZEK		8.00			07:30	16:00
2,4,7	TERRY REYNARD		8.00	4.00		07:30	16:00
3,7	KEVIN WILLIAMS		8.00	4.00		07:30	16:00
4,7	STEVE SAMBUCA		8.00	4.00		07:30	16:00
			TOTALS	64.00	16.00		

Accident Reporting

When an accident or injury occurs at a work site, the first responsibilities of the person in charge at the scene are:

* Care for the injured parties as far as possible and within the scope of your training. Protect everyone from any danger of further injury.

* Secure the accident scene. Avoid unnecessary moving of vehicles, but make sure that traffic is maintained and that the public and all employees are protected.

* You may need to reset your work zone on a temporary or emergency basis.

* Summon emergency services: police, medical, fire, etc. This can be done either through your residency radio watch or via a 911 call.

* Notify your immediate supervisor either directly or through your residency radio watch.

* Stand ready to assist emergency officers (police, EMT or fire) when they arrive on the scene.

All of the above "first responses can be done either directly by the supervisor or by delegating these tasks to others. Judgment is called for.

Following an accident there are several reports that must be filled out either by the person in charge or by the vehicle operator.

Samples of the necessary safety forms are included on the pages following this section of manual. They are also available on the IntraDot and on the P drive at:

P:\Office of Operations\Transportation Maintenance\Accident Reporting Forms

A detailed description of accident reporting responsibilities is available in the <u>NYSDOT Manual of Administrative Procedures</u> (MAP) under the code: 2. 4-3-4

Get the accident details as soon as possible before important facts are obscured or forgotten. The kind of information you need to record includes the names of drivers, plate numbers, dates, times, locations, names of insurance companies and policy numbers. Also, get the names and addresses of those present as witnesses.

To help the person in charge gather information at the scene, there is an accident report card (SAF-19) in every blue vehicle registration folder. This form can be used to jot down information which you can later transfer to the other forms listed below. After using the SAF-19, dispose of it properly. Do not leave it in the blue folder.

When gathering information about an accident, the supervisor or crew leader makes no statements about the accident other than:

- an exchange of information with the other driver(s)
- answers to questions from law enforcement officers
- answers to questions from his/her supervisor
- answers to questions from Department representatives who are empowered to investigate accidents
- or to his/her own personal insurance carrier.

Further, the supervisor or crew leader enters no agreements, signs no documents, and admits no guilt.

The forms that must be filled out by the supervisor or crew leader after an accident are:

SAF-9MVA Supervisor's Report of Accident Investigation Vehicle Accident
SAF-9INJ Supervisor's Report of Accident Investigation Personal Injury and Illness

The forms that must be filled out by the operator of the vehicle/equipment that is involved in an accident are:

SAF-1C, Report of State Vehicle/Equipment Accident
MV-104 Report of Motor Vehicle Accident (if there has been personal injury, death, or property damage exceeding $1,000.00)

When considering when to use the SAF-1C form to report an accident with equipment that is not a "vehicle" but is more than a simple tool, use the following guideline:

- Does the equipment have an identification number?

- Or, does it contain an engine, or is it towed or trailered?

- Has the equipment itself sustained damage in the accident?

If the equipment is not a vehicle and does not meet the guidelines above, if it is simply a tool, the SAF-1C form is not necessary. Other forms may still be necessary, particularly in the case of injuries.

Although the SAF -1C and the MV-104 are filled out by the operator, the supervisor or crew leader can, as needed, offer assistance to the operator. If the operator is unable to fill out these forms, the supervisor/crew leader must then do so. In either case, the supervisor/crew leader receives and reviews forms SAF-1 and MV-104 and adds them to his/her SAF-9(s) and forwards these documents as a package to his/her manager no later than two (2) work days after the accident. If supervisors/crew leaders need assistance in filling out these forms, they should seek help from higher level supervisors, T.O.A.s, or they can consult older files in residency offices.

The SAF-1C and MV-104 should be filled out and submitted, as outlined above, no later than the next work day after an accident. Also, the receipt of any citation of the Vehicle and Traffic Law (any tickets) should be reported by the operator to his/her supervisor/crew leader within 24 hours. The operator who receives a ticket must also notify the supervisor/crew leader of the final disposition of the citation within 24 hours of that action. This would include reporting the effect of the disposition on the operator's ability to perform the duties of the position (e.g., suspension/revocation of driver's license.)

The blue vehicle registration folder in every vehicle also contains a Courtesy Information Card (SAF-18) which can be given to any witnesses to an accident. Witnesses could be

employees or members of the public. If the Courtesy Information Card is used, the supervisor should retrieve the card from the witness, use it in his/her investigation and

reports, make it available to law enforcement, and dispose of it properly before turning in the blue folder.

If roadside appurtenances (guide rail, signs, etc.) have been damaged in the accident, this should be noted on the SAF-9MVA by the supervisor/crew leader so that later investigations can pursue "accident damage recovery" funds.

See the OTETA section of this manual for the details on post-accident driver testing.

After dealing with an accident the supervisor/crew leader can remind all injured employees to call the NYS <u>Accident Reporting System</u> at 1-888-800-0029. This number can be called toll-free 24 hours a day. Employees should use it to report any work related injury or illness. If an employee is unable to make the call, the supervisor should do so.

In addition to the pain and suffering of personal injuries, accidents affect our work in the following ways:

Loss of the injured employee's services.

Loss of the services of employees and supervisors/crew leaders who must care for the injured person.

Loss of production due to partial or total shut down and rescheduling of a job.

Loss of the use of a vehicle or other piece of equipment.

Loss of time in investigating and processing reports.

The reasons for documenting accidents on these forms are:

New York State law and DOT policy require that accidents be investigated.

We want to prevent any future accidents. If the causes of accidents can be made known to everyone, we can prevent further accidents.

Accident investigation is used to provide information to the Workers' Compensation Board and insurance carriers.

A Car in the Work Zone

You are an HMS1 with a crew of four: Tony, Mike, Taylor, and Mary Ann. Your HMS2 has assigned you to replace a section of damaged guide rail on Route 12, a two lane - two way road, 2 miles east of the residency.

You leave the shop at 8:15 a.m. in a patrol truck. You assign Mike to drive the front-end loader to the job. Mike is certified on the loader but has only loaded trucks during snow and ice season. You feel that Mike needs more experience on the loader under your guidance.

Tony and Taylor are responsible for setting the new posts and rails.

Mary Ann has never worked on a guide rail job before. She is to observe and help only as necessary.

A separate crew has already set up the work zone MPT.

At 11:45 a.m., on a bright sunny day, the last piece of box beam is being set into place. The beam is suspended from a chain attached to the bucket of the loader. All of a sudden, Mary Ann yells that a car is inside the cones of the work zone. A second later, there is a loud noise as a car strikes the back of the patrol truck that is parked on the shoulder of the road. You run to the rear of the patrol truck, approximately 100 feet away and find that a Buick has struck the truck. The driver, an elderly man, appears dazed, but conscious. Just then, Taylor yells that Tony has been hurt. You run back to the loader location and find Tony lying on the ground holding his leg. Taylor says that Tony was hit on the leg by the box beam when the loader bucket moved suddenly.

Mary Ann is visibly shaken and is not saying anything. Mike is just sitting in the Loader.

- What do you do now? What are your duties as a supervisor/crew leader in this situation?

- Describe the sequence of events from this point on.
- What documents should be filled out? By whom? What information will be required?

SUPERVISOR'S REPORT OF ACCIDENT INVESTIGATION PERSONAL INJURY AND ILLNESS

Injured or Ill Employee:

Program Area:

Date of Injury/Illness: /   /

Work Location:

Employee ID#:

Title:

Employee's Home Address (include City/Village, & Zip):

Employee's Home Phone #:

Sex: ☐ M ☐ F   **Date of Birth:**

ARS Case# (If Known):   **Case # from Log:**

Employment Category:
☐ Full-time ☐ Temporary ☐ Non-Employee

Date Hired: /   /

Time of Event:
AM / PM

Time employee started shift:
AM / PM

Time in Title at Time of Injury:
☐ Less than 3 mo.
☐ 3 -11 mo.
☐ 1 - 5 yr.
☐ More than 5 yr.

Nature of injury and part of body:
(Be specific ex; strained back, burn to rt hand etc...):

Specific location of injury:
(include City or Village, & Zip Code)

On employer's premises: ☐ Yes   ☐ No
(At Residency, Sub-Residency or DOT facility)

Severity of injury:
☐ Fatality - Date of Death:_____
☐ Lost workdays - (Beyond day of injury)
☐ Alternate/Restricted Duty

Type of treatment:
☐ Medical Treatment
☐ First Aid

Name and address where treatment was provided:

Name of treating Doctor or Physician:

What was the employee doing when injured? Describe the activity, as well as the tools, equipment, or material the employee was using. Be specific. *Examples:* "climbing ladder while carrying grinder; lifting wing blade and placing on wing etc...

What Happened? Explain how the injury occurred. *Examples:* "When ladder slipped on uneven surface, employee fell 20'", Employee strained back while trying to lift wing.

Over→

What object or substance directly harmed the employee? *Examples:* "ground, radial arm saw, grinder, chemical substance etc..."

Contributing factors: Events and conditions that contributed to the injury. *(Check only the most appropriate factor)*

Administrative Factors:
☐ Delegation of Task
☐ Employee Control
☐ Housekeeping
☐ Equipment
☐ Hazardous/Unsafe Condition
☐ PPE
☐ Policy/Procedure
☐ Other:

Human Factors:
☐ Action by Other Employee(s)
☐ Fatigue
☐ Violation of Policy/Procedure
☐ Safety Device By-Passed
☐ Physical/Mental Factor
☐ Lifting
☐ Inattentive Behavior
☐ Unsafe Act
☐ PPE
☐ Other:

Environmental Conditions:
☐ Weather
☐ Building/Structure
☐ Insect/Animal Exposure
☐ Equipment/Tool
☐ Workstation Design
☐ Noise
☐ Air Contaminate
☐ Temperature Extreme
☐ Ventilation
☐ Vibration
☐ Repetitive Motion
☐ Chemical Exposure
☐ Atmospheric Hazards
☐ Fire/Heat
☐ Location/Position
☐ Illumination
☐ Electrical Condition
☐ Slippery Condition/Surface
☐ Other:

Equipment Factors:
☐ Equipment Design Deficient
☐ Equipment Worn
☐ Improper Maint. of Equipment
☐ Motor Vehicle Accident
☐ Error - Private Vehicle
☐ Work Zone Intrusion
☐ Error - Operator (Non-Employee)
☐ Other:

Training Factors:
☐ Training
☐ Employee Training
☐ Supervisor Training

☐ **Workplace Violence Act**

Supervisor's Preventive Recommendations and Corrective actions:
(Those that have been, or will be, taken to prevent recurrence.) Include an additional sheet if necessary.

Immediate Supervisor: (print name) _____   **Signature:** _____
Supervisor ID # _____
Did you investigate this injury? ☐ **Yes** ☐ **No**   **Date & time you were notified of this injury**:   /   /   AM/PM
Is this injury: ☐ **Preventable** ☐ **Non-Preventable** (explain why)

☐ Additional Forms and or info attached

Employee Permission Illness Cases only:

☐   Check this box if the employee independently and voluntarily requests that his or her name **not** be entered on the SH-900, Log of Work Related Injuries and Illnesses. If checked, treat as a privacy concern case.

Prepared by: _____
Title:
Date: /   /

Approved by: _____
Title:
Date: /   /

SAF-9INJ (03/03)

SUPERVISOR'S REPORT OF ACCIDENT INVESTIGATION VEHICLE ACCIDENT	**SAF-9MVA(03/03)** **Region ___**

Operator: **Program Area :**

Accident Date: **Work Location:**

Employee ID#:   **Title:**   **Sex:** ☐ M ☐ F   **Date of Birth:**

Immediate Supervisor:

Employment Category:	**Length of Employment:**	**Time in Occup. at Time of Accident:**
☐ Full-time ☐ Temporary Date Hired: / /	☐ Less than 1 mo. ☐ 1-5 mo. ☐ 6 mo.-5 yr. ☐ More than 5 yr.	☐ Less than 1 mo. ☐ 1-5 mo. ☐ 6 mo. - 5 yr. ☐ More than 5 yr.

Was accident reported to a police agency: **Agency & name of Investigating Officer:**
☐ Yes ☐ No

Type of Equipment or Vehicle make & model:

Location:
☐ At intersection ☐ On Roadway ☐ Off Roadway
☐ On Shoulder ☐ At driveway access
☐ At DOT Facility ☐ Private Parking Area
☐ Other: _____

License plate or ID #:

Time of MVA: A.M.   P.M.

Specific location of accident:

Rte #: _____

Ref. Marker: _____

City, Town or Village: _____

Road Type or Character: (Check all that apply)
☐ One Lane	☐ Two Lane	☐ Three lane
☐ One Way St.	☐ Divided Highway	☐ Expressway
☐ Limited Access	☐ Bridge	☐ Level
☐ On Grade	☐ On hill crest	☐ Straight road
☐ Curve	☐ Merging Lane	☐ On/Off ramp
☐ U-Turn	☐ Other _____	

Road Surface:

☐ Dry ☐ Wet ☐ Ice ☐ Snow (covered or spotty)

Weather:
☐ Cloudy   ☐ Partly Cloudy ☐ Windy
☐ Clear/Sunny ☐ Rain/Mist   ☐ Fog ☐ Ice/Sleet   ☐ Snow

Type of Collision:
☐ Rollover   ☐ Side-swipe   ☐ Rear-end
☐ Head on   ☐ Fixed Object ☐ Backing
☐ Vehicle/Equip. Damage only
☐ Work Zone Intrusion

Object Collided with:
(indicate if object collided with was a Private Vehicle or a DOT vehicle)
☐ Private Vehicle   ☐ DOT Vehicle
☐ Motor vehicle (In motion)   ☐ Motor Vehicle (Parked)
☐ Railroad Vehicle (In motion) ☐ Railroad Vehicle (Parked)
☐ Bicycle   ☐ Animal   ☐ Pedestrian   ☐ Fixed Object

Damage: ☐ Disabling ☐ Minor ☐ No Damage ☐ Property Damage
       ☐ Check if MV-104 was completed.
An MV-104 must be filed when an accident involves a Personal Injury, a Fatality, or Property and/or Equipment Damage exceeding $1,000.00 to either the DOT or Private Vehicle.

TASK (Describe what task or operation was being performed):

Describe in detail how the accident occurred: (include a separate sheet if necessary)

Contributing factors:	DOT	Private Vehicle	OTETA Criteria:
Adverse Weather	☐	☐	Did the accident result in:
Unsafe Speed	☐	☐	
Deer/Animal	☐	☐	♦ A fatality ☐ Yes ☐ No
Inattentive Behavior	☐	☐	♦ Any vehicle towed **and** CDL operator cited for a moving violation: ☐ Yes ☐ No
Unsafe Backing	☐	☐	
Operator Error	☐	☐	♦ Someone involved requiring medical treatment away from the scene of the accident **and** CDL operator cited for a moving violation ☐ Yes ☐ No
Failure to Perform Pre-Trip Inspection	☐	☐	
Height, Width, or Weight	☐	☐	
Unsecured Load	☐	☐	
Factors Beyond Operators Control	☐	☐	
Failed to Follow Established Policy or Procedure	☐	☐	If the answer to **ANY** of the above questions is yes, the CDL operator **MUST BE TESTED FOR DRUGS & ALCOHOL.**
Improper Following Distance	☐	☐	
Unsecured Load	☐	☐	

☐ **Other:**

Supervisor's Preventive Recommendations and Corrective actions:
(Those that have been, or will be, taken to prevent recurrence.) Include an additional sheet if necessary.

Immediate Supervisor: _____ **Signature:** _____
(Print Name)

Supervisor ID #: _____

Did you investigate this Accident? ☐ **Yes** ☐ **No**   **Date & time you were notified**: / / AM/PM
Is this incident: ☐ **Preventable** ☐ **Non-Preventable** (explain why)

☐ **Were any summons issued?** ☐ **Additional Forms and or info attached**

Prepared by: _____   Approved by: _____
Title: Title: Date:
Date:

Approved by: _____
Title: Date:

SAF-9MVA(03/03)

SAF 1c (8/90)

STATE OF NEW YORK
DEPARTMENT OF TRANSPORTATION

REPORT OF STATE VEHICLE/EQUIPMENT ACCIDENT

1 POLICY-HOLDER	FULL NAME NEW YORK STATE DEPARTMENT OF TRANSPORTATION				TELEPHONE NUMBER (518) 457-2420	
	ADDRESS 1220 WASHINGTON AVE., BUILDING 5			CITY ALBANY	STATE NEW YORK	ZIP CODE 12232

2 INSURED VEHICLE	MAKE	YEAR/MODEL	TYPE	PLATE NUMBER	COUNTY AND TELEPHONE NO.
	PURPOSE FOR WHICH VEHICLE WAS BEING USED				REGION AND PROGRAM AREA

3 TIME AND PLACE OF ACCIDENT DRIVER	DATE		HOUR M	CITY	STATE
	LOCATION (STREET, INTERSECTION, ETC.)				
	NAME OF DRIVER			ADDRESS	
	DATE OF BIRTH		LICENSE CLASS	MOTORIST IDENTIFICATION NUMBER	
	WAS ACCIDENT REPORTED TO POLICE? ☐ YES ☐ NO		IF NOT, WHY?		

4 PERSONS INJURED (Use additional sheet if necessary.)	NAME	ADDRESS	APPARENT AGE
	INJURIES (CHECK ONE AND DESCRIBE) ☐ SLIGHT ☐ SERIOUS ☐ FATAL		
	☐ IN INSURED'S VEHICLE ☐ IN OTHER VEHICLE ☐ PEDES-TRIAN ATTENDED BY		WHERE TAKEN AFTER ACCIDENT?
	NAME	ADDRESS	APPARENT AGE
	INJURIES (CHECK ONE AND DESCRIBE) ☐ SLIGHT ☐ SERIOUS ☐ FATAL		
	☐ IN INSURED'S VEHICLE ☐ IN OTHER VEHICLE ☐ PEDES-TRIAN ATTENDED BY		WHERE TAKEN AFTER ACCIDENT?
	NAME	ADDRESS	APPARENT AGE
	INJURIES (CHECK ONE AND DESCRIBE) ☐ SLIGHT ☐ SERIOUS ☐ FATAL		
	☐ IN INSURED'S VEHICLE ☐ IN OTHER VEHICLE ☐ PEDES-TRIAN ATTENDED BY		WHERE TAKEN AFTER ACCIDENT?
	NAME	ADDRESS	APPARENT AGE
	INJURIES (CHECK ONE AND DESCRIBE) ☐ SLIGHT ☐ SERIOUS ☐ FATAL		
	☐ IN INSURED'S VEHICLE ☐ IN OTHER VEHICLE ☐ PEDES-TRIAN ATTENDED BY		WHERE TAKEN AFTER ACCIDENT?

5 DAMAGE TO PROPERTY OF OTHERS	NATURE AND EXTENT OF DAMAGE ☐ SLIGHT (UNDER $600) ☐ HEAVY ($600 OR MORE)		ESTIMATED COST of REPAIRS $
	OWNER	ADDRESS	
	OTHER DRIVER	ADDRESS	
	If Motor Vehicle, make & year | Plate Number	Was other vehicle insured? | NAME OF COMPANY	

6 DAMAGE TO VEHICLE OF POLICY HOLDER Fire, Theft, Collision, etc.	NATURE OF LOSS ☐ SLIGHT (UNDER $600) ☐ HEAVY ($600 OR MORE)	ESTIMATED COST of REPAIRS $
	PARTS DAMAGED AND EXTENT	
	WHERE AND WHEN VEHICLE CAN BE INSPECTED	

IMPORTANT: BE SURE TO GIVE INFORMATION REQUESTED ON PAGE 2.

OCCUPANTS OF INSURED VEHICLE	ADDRESS	TELEPHONE NUMBER

| 7 NAMES AND ADDRESSES OF OCCUPANTS AND WITNESSES |

OCCUPANTS OF OTHER VEHICLE	ADDRESS	TELEPHONE NUMBER

OTHER WITNESSES (IMPORTANT)	ADDRESS	TELEPHONE NUMBER

8 DIAGRAM

SHOW HOW ACCIDENT OCCURRED BY USING THIS DIAGRAM

Indicate points of compass N.E.S.W.

GIVE STREET NAMES, DIRECTIONS AND LOCATIONS OF OBJECTS INVOLVED, USING MILE POST MARKERS IF AVAILABLE.
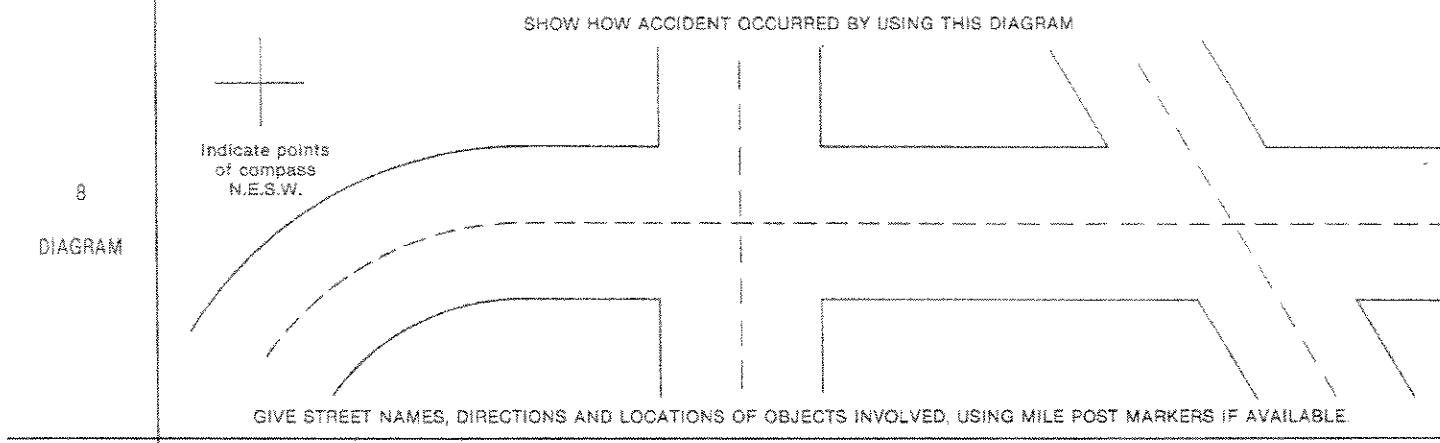
9 THE ACCIDENT

STATEMENT OF DRIVER/OPERATOR
DESCRIBE BELOW HOW THE ACCIDENT OCCURRED, GIVING DIRECTION AND SPEED OF VEHICLE OR VEHICLES, WIDTH OF STREET OR HIGHWAY, CONDITION OF ROAD SURFACE, WEATHER, ETC. (ATTACH ADDITIONAL SHEET IF NECESSARY.)

MV 104 FILED?
☐ YES   ☐ NO

WERE SEAT BELTS IN USE?
☐ YES   ☐ NO

MV 104 MUST BE FILED WHEN ACCIDENT INVOLVES PERSONAL INJURY, DEATH OR PROPERTY AND/OR EQUIPMENT DAMAGE EXCEEDS $1,000.00

10 SIGNATURE OF DOT OPERATOR AND SUPERVISOR	SIGNATURE OF DOT OPERATOR	TITLE	DATE
	SIGNATURE OF SUPERVISOR	TITLE	DATE

FOLD ➝ ⬅ HERE

New York State Department of Motor Vehicles
REPORT OF MOTOR VEHICLE ACCIDENT
www.nysdmv.com

BEFORE COMPLETING THIS FORM, READ THE INSTRUCTIONS IN SECTION A ON PAGE 2

(Use only for accidents that happen in New York State)

| 1 |

DO NOT FORGET ACCIDENT DATE ↓   Page _____ of _____   ☐ *RUSH* - DRIVER OF VEHICLE 1 - LICENSE SUSPENDED FOR FAILURE TO REPORT

Accident Date Month	Day	Year	Day of Week	Time ☐ AM ☐ PM	Number of Vehicles	Number Injured	Number Killed	Did police investigate accident at scene? ☐ Yes ☐ No	If "Yes", Name of Police Agency or Precinct & Accident Number

DRIVER OF VEHICLE 1 | ☐ VEHICLE 2   ☐ PEDESTRIAN   ☐ BICYCLIST   ☐ OTHER PEDESTRIAN

| 2 |

❶ DRIVER

Driver License ID Number	State of License	Driver License ID Number	State of License

Driver Name—exactly as printed on license (Last, First, M.I.) | Name—exactly as printed on license (Last, First, M.I.)

Address (*Include Number & Street*) | Apt. Number | Address (*Include Number & Street*) | Apt. Number

City or Town | State | Zip Code | City or Town | State | Zip Code

Date of Birth Month	Day	Year	Sex	Number of People in Vehicle	Public Property Damaged ☐	Date of Birth Month	Day	Year	Sex	Number of People in Vehicle	Public Property Damaged ☐

| 3 |

❷ REGISTRANT

Name—exactly as printed on registration	Date of Birth Month	Day	Year	Sex	Name—exactly as printed on registration	Date of Birth Month	Day	Year	Sex

Address (*Include Number & Street*) | Apt. Number | Address (*Include Number & Street*) | Apt. Number

City or Town | State | Zip Code | City or Town | State | Zip Code

| 4 |

Plate Number	State of Reg.	Vehicle Year & Make	Vehicle Type	Ins. Code	Plate Number	State of Reg.	Vehicle Year & Make	Vehicle Type	Ins. Code

| 5 |

❸ VEHICLE DAMAGE

Estimated Cost of Repairs - Vehicle 1 ☐ $1,001-$1,500   ☐ $1,501-$2,500   ☐ Over $2,500
Estimated Cost of Repairs - Vehicle 2 ☐ $1,001-$1,500   ☐ $1,501-$2,500   ☐ Over $2,500

| 6 |

Describe damage to vehicle 1 | **ACCIDENT DIAGRAM:** Circle one of the 9 diagrams (numbered 0-8) if it describes the accident, or draw your own diagram below in space #9. Number the vehicles. Your vehicle is # 1 | Describe damage to vehicle 2

Left Turn 0.	Rear End 1.	Overtaking 2.
Left Turn 3.	Right Angle 4.	Right Turn 5.
Right Turn 6.	Head On 7.	Sideswipe 8.

9.

| 7 |

| 23 |

❹ ACCIDENT LOCATION

Place Where Accident Occurred in New York State:

County _____   ☐ City ☐ Village ☐ Town of _____.   Permanent Landmark_____

Road on which accident occurred _____
(Route Number or Street Name)

at ☐ 1) intersecting street_____
(Route Number or Street Name)

or   2) _____   ☐ N ☐ S   ☐ E ☐ W   of _____
Feet   Miles   (Milepost, Nearest intersecting Route Number or Street Name)

How did the accident happen? _____

| 24 |
| 25 |
| 26 |
| 27 |

❺ ALL INVOLVED

Names of All Persons Involved	8. Which Veh. Occupied	9. Position in/on Vehicle	10. Safety Equip.Used	12. Age	13. Sex	16. Injury A	B	C	Describe Injuries	If Deceased, Enter Date of Death

| 28 |

❻ INSURANCE

Identify Damaged Property Other Than Vehicle(s)	VIN
Name of Insurance Company That Issued Policy For Vehicle 1	Policy Number
Name and Address of Policy Holder	Policy Period From To
If Vehicle was Operated Under Permit (ICC, USDOT or NYSDOT), give No.	Name and Address of Permit Holder
If Self-Insured, give Certificate No.	and State

| 29 |
| 30 |

Date	Print Name of Driver (or Representative*) of Vehicle 1	Signature of Driver (or Representative*) of Vehicle 1 ▶

★ A representative may sign for the driver if the driver is unable to sign because of injury or death. If you are signing as the driver's representative, check the box that describes why the driver cannot sign.   ☐ Injury ☐ Death   **An accident report is not considered complete and filed unless it is signed, and if not signed may result in the suspension of your driver's license.**

SECTION A

*You must report within 10 days any accident **occurring in New York State** causing a fatality, personal injury or damage over $1,000 to the property of any one person. Failure to do so within 10 days is a misdemeanor. Your license and/or registration may be suspended until a report is filed. Check the "RUSH" box at the top of page 1 if your license is suspended for failure to report this accident on time. **You must fill in all information requested on the report.***

Then fill in the boxes numbered 1-7 and 23-30 in the right margin on page 1 by entering the number of the item from Section B that best describes the circumstances of the accident. If a question does not apply, enter a dash ("-"). If you do not know an answer, enter an "X".

INSTRUCTIONS - *PLEASE PRINT OR TYPE ALL INFORMATION - USE BLACK INK* * First — fold along this shaded, dotted line.* ➡️ ⬅️

* *Don't fold internet form. Instead, place page 2 over page 1, with the arrows on page 2 pointing to the boxes on the right edge of page 1.*

VEHICLE INVOLVEMENT - If you were in an accident involving:
- **two-cars**, enter your information in the VEHICLE 1 section and the other driver's information in the VEHICLE 2 section.
- **a pedestrian, bicyclist or other pedestrian** (a person using a non-motorized conveyance such as in-line skates, skateboard,sled, etc.), enter the information in the "Driver" spaces provided for Vehicle 2, and check the PEDESTRIAN, BICYCLIST or OTHER PEDESTRIAN box.
- **a vehicle other than a motor vehicle** (such as a snowmobile, mini-bike, aircycle, all-terrain vehicle, trail bike, or other non-motor vehicle), enter the driver, registrant and vehicle information in the space provided for VEHICLE 2.
- **an unoccupied vehicle**, enter all available information. Be sure to enter the correct vehicle Plate Number and Vehicle Type in the VEHICLE 2 block.
- **more than two vehicles**, fill out additional accident reports. On these reports, place the information for the third vehicle in the space marked VEHICLE 1 and mark it # 3. Use the space marked VEHICLE 2 for the fourth vehicle, and mark it # 4 and so on. Additional forms are available at any Motor Vehicles office or from the DMV website: www.nysdmv.com.

❶ **DRIVER** - Enter the information for each driver EXACTLY as it appears on his/her driver license.

❷ **REGISTRANT** - Enter registrant information EXACTLY as it appears on the registration of each vehicle involved in the accident.

❸ **VEHICLE DAMAGE** - Indicate if the accident exceeds the $1,000 threshold for property damage to any one vehicle or property caused by the accident, and describe the vehicle damage.

❹ **ACCIDENT LOCATION** - Enter the county, locality and street(s) where the accident occurred. Check the box if there is an intersecting street. If available, identify a **permanent landmark** nearby, such as a business, school, shopping mall, parking lot, water tower, railroad, mountain or cell tower.

❺ **ALL INVOLVED** - List the names of all persons involved in the accident, and provide the date of death if anyone was killed in, or as a result of, the accident. If more than four people are involved, complete another report. In the ALL INVOLVED section of that report, provide the required information for everyone else involved in the accident. Enter the following codes in the appropriate columns:

WHICH VEHICLE OCCUPIED *(Column 8)* - Enter the appropriate number or letter.

1. Vehicle 1   2. Vehicle 2   B. Bicyclist   P. Pedestrian   O. Other Pedestrian

POSITION IN/ON VEHICLE *(Column 9)* - Enter the number from this diagram which corresponds to each person's position.
1. Driver   2-7. Passengers   8. Riding/Hanging on Outside
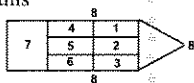
SAFETY EQUIPMENT USED *(Column 10)*
1. None	7. Air Bag Deployed
2. Lap Belt	8. Air Bag Deployed/Lap Belt
3. Shoulder Restraint	9. Air Bag Deployed/Shoulder Restraint
4. Lap Belt Restraint	A. Air Bag Deployed/ Lap Belt/Restraint
5. Child Restraint Only	B. Air Bag Deployed/Child Restraint
6. Helmet (Motorcycle Only)	O. Other

In-Line Skater/Bicyclist
C. Helmet Only
D. Helmet/Other
E. Pads Only
F. Stoppers Only

INJURY *(Columns 16A-C)* - Check all column(s) that apply and DESCRIBE INJURIES:

A - Severe lacerations, broken or distorted limbs, skull fracture, crushed chest, internal injuries, unconscious when taken from the accident scene, unable to leave accident scene without assistance.

B - Lump on head, abrasions, minor lacerations.

C - Momentary unconsciousness, limping, nausea, hysteria, complaint of pain (no visible injury), whiplash (complaint of neck and head pain).

❻ **INSURANCE** - Enter damage to private property, if any, insurance policy information and VIN.

Attach additional reports to page one. Each page of the report must be numbered in the upper left corner. Mark additional sheets #2, #3, etc. Date and **sign** on the bottom line of each attached report. **THE REPORT MUST BE SIGNED BY THE DRIVER OF VEHICLE 1, UNLESS HE OR SHE IS UNABLE TO SIGN BECAUSE HE/SHE IS INJURED OR DECEASED.**

Send **original** to: ACCIDENT RECORDS BUREAU
6 EMPIRE STATE PLAZA
PO BOX 2925
ALBANY NY 12220-0925

SECTION B

Be sure your answers are marked INSIDE THE BOXES ON PAGE 1

USE TO COMPLETE BOXES 1-7 and 23-30 ON PAGE 1

PEDESTRIAN/BICYCLIST/OTHER PEDESTRIAN LOCATION
1. Pedestrian/Bicyclist/Other Pedestrian at Intersection
2. Pedestrian/Bicyclist/Other Pedestrian Not at Intersection

PEDESTRIAN/BICYCLIST/OTHER PEDESTRIAN ACTION
1. Crossing, With Signal
2. Crossing, Against Signal
3. Crossing, No Signal, Marked Crosswalk
4. Crossing, No Signal or Crosswalk
5. Riding/Walking/Skating Along Highway With Traffic
6. Riding/Walking /Skating Along Highway Against Traffic
7. Emerging from in Front of/Behind Parked Vehicle
8. Going to/From Stopped School Bus
9. Getting On/Off Vehicle Other Than School Bus
11. Working in Roadway
12. Playing in Roadway
13. Other Actions in Roadway
14. Not in Roadway

TRAFFIC CONTROL
1. None	10. RR Crossing Gates
2. Traffic Signal	11. Stopped School Bus-Red
3. Stop Sign	Lights Flashing
4. Flashing Light	12. Construction Work Area
5. Yield Sign	13. Maintenance Work Area
6. Officer/Guard	14. Utility Work Area
7. No Passing Zone	15. Police/Fire Emergency
8. RR Crossing Sign	16. School Zone
9. RR Crossing Flashing Light	20. Other

LIGHT CONDITIONS
1. Daylight   3. Dusk   5. Dark-Road Unlighted
2. Dawn   4. Dark-Road Lighted

ROADWAY CHARACTER
1. Straight and Level	4. Curve and Level
2. Straight and Grade	5. Curve and Grade
3. Straight at Hillcrest	6. Curve at Hillcrest

ROADWAY SURFACE CONDITION
1. Dry   3. Muddy   5. Slush   0. Other
2. Wet   4. Snow/Ice   6. Flooded

WEATHER
1. Clear	2. Cloudy	5. Sleet/Hail/Freezing Rain
	3. Rain	6. Fog/Smog/Smoke
	4. Snow	0. Other

DIRECTION OF TRAVEL
1. North	5. South
2. Northeast	6. Southwest
3. East	7. West
4. Southeast	8. Northwest

PRE-ACCIDENT VEHICLE ACTION
1. Going Straight Ahead	11. Avoiding Object in Roadway
2. Making Right Turn	12. Changing Lanes
3. Making Left Turn	13. Passing
4. Making U Turn	14. Merging
5. Starting from Parking	15. Backing
6. Starting in Traffic	16. Making Right Turn on Red
7. Slowing or Stopping	17. Making Left Turn on Red
8. Stopped in Traffic	18. Police Pursuit
9. Entering Parked Position	20. Other
10. Parked	

LOCATION OF FIRST EVENT
1. On Roadway   2. Off Roadway

TYPE OF ACCIDENT
COLLISION WITH
1. Other Motor Vehicle	6. In-Line Skater
2. Pedestrian	7. Deer
3. Bicyclist	8. Other Pedestrian
4. Animal	10. Other Object (Not Fixed)
5. Railroad Train	

COLLISION WITH FIXED OBJECT
11. Light Support/Utility Pole	21. Median - Not At End
12. Guide Rail - Not At End	22. Snow Embankment
13. Crash Cushion	23. Earth Embankment/
14. Sign Post	Rock Cut/Ditch
15. Tree	24. Fire hydrant
16. Building/Wall	25. Guide Rail - End
17. Curbing	26. Median - End
18. Fence	27. Barrier
19. Bridge Structure	30. Other Fixed Object
20. Culvert/Head Wall	

NO COLLISION
31. Overturned	33. Submersion
32. Fire/Explosion	34. Ran Off Roadway Only
	40. Other

Veh. 1. 23
Veh. 2 24
Veh. 1 25
Veh. 2 26
27
First Event 28
Second Event
Veh. 1 29
Veh. 2 30

blank

INTERNAL CONTROLS

Performance Objective:	Supervisors will identify risks and vulnerabilities in the way we do business. They will document and report these risks and vulnerabilities to higher authority, and they will devise or follow appropriate internal control procedures.
Learning Objective:	Supervisors will understand their responsibilities under the Internal Controls Law.

blank

Definition of Internal Controls:

The measures taken to identify, report and control risks.

Supervisors need to identify risks and vulnerabilities that threaten both the work of their units and the work of DOT. Internal controls are the ways in which we deal with those risks. Dealing with risks should be part of everyone's job. The careful control of risks has always been a normal part of our work and of good management practice. Our goal should be to remove any jeopardy that threatens the Department's ability to provide good customer service to the public.

Rules and regulations about Internal Controls are issued by the NYS Division of the Budget and the Office of the State Comptroller. Their authority in this matter derives from the NYS **Internal Control Law of 1987**.

The four responsibilities of first line supervisors for Internal Controls are:

(1) To figure out what risks or vulnerabilities exist in the way the unit does its work and,

(2) To put in place or follow whatever processes (controls) are needed to reduce risks, and,

(3) To document vulnerabilities and procedures that deal with these risks.

(4) To report to management any risks that extend beyond the control of the supervisor's unit or that affect other units or employees.

Vulnerabilities (risks) for which controls would be needed:

▸ Inability to Attain Objectives

▸ Financial Loss

▸ Material Damage

▸ Loss or Theft of Physical Assets

▸ Inefficiency

▸ Lack of (or inadequate) Documentation of Work

▸ Abusive or Prejudicial Treatment of Employees or Members of the Public

▸ Instances of Bribery

▸ Inadequate Contract or Consultant Management

▸ Conflicts of Interest

▸ Organizational patterns that make Supervision or Lines of Authority difficult or unclear

▸ Unexpected disasters (severe weather, floods, accidents, massive gatherings, etc)

Questions about Internal Controls:

What internal control systems do you use in your unit? What is your role in them? What risks exist in your unit that need your attention?

Policy Reference Material:

Safety
OTETA
EAP
Positive Work Place

Performance Objective:	Supervisors will refer to the following information when dealing with these policy areas.
Learning Objective:	Supervisors will be aware of their responsibilities in these areas.

blank

<u>Supervisory Safety Responsibilities</u>

The immediate supervisor is the key to a safe work environment, especially in a remote site. The immediate supervisor must be alert to safety and health hazards and must bring such hazards to the attention of employees and superiors. The supervisor must watch and guide employees to be sure they are working in accordance with safety expectations. It is critical that all employees know what is expected of them, especially safe work practices.

Pictured here is the DOT Transportation Maintenance <u>Safety Manual</u>, 2001. Supervisors should make sure that a copy is available at all work sites.

Supervisors must recognize potential for an accident **before** it occurs, and must constantly look for and correct unsafe acts and conditions.

Supervisors must report to management any unsafe equipment, or methods and procedures that need to be revised, and should counsel employees who continually refuse to conform to safe work practices.

Immediate supervisors shall conduct "tailgate" safety meetings, especially when a new or different task will be performed, or with new personnel. The objectives of such a meeting are to:

- Identify Unusual Conditions associated with the work site.

- Recognize potential hazards; discuss and recommend solutions.

- Discuss traffic control procedures

- Check personal protective equipment and review proper use.

- Check vehicles and equipment.

- Review and discuss a recent accident or "near miss."

Specifically, immediate supervisors are responsible for the following:

- Instruct employees how to perform work safely, correct them when they're not working safely.

- Require employees to bring unsafe conditions to their attention. When possible, correct them promptly. If this can't be done, minimize the hazard until it can be corrected. Make   sure those involved know about the hazard. Advise management of the hazard and suggest appropriate corrective action.

- Investigate each injury and accident to learn why it happened and how to prevent another.

- Maintain effective communication with subordinates concerning their safety. When employees are to perform an unfamiliar task, make sure they understand everything necessary to complete the job safely.

- At a work site, responsibility for safety is as important as the responsibility for seeing that the work is done properly and on time.

- Set the example. Use the same safety equipment subordinates use, no matter how short a time it is required.

- Enforce the use of personal protective equipment, safety equipment and safety procedures.

- Maintain the safety bulletin board(s) assuring information is current and relevant.

- Involve employees by asking questions, asking for comments and ideas. Make employees feel involved in decisions that affect their safety.

Transportation Maintenance Safety Manual, 2001, pgs. 5 & 6.

OTETA

(adapted from the Drug-Free Workplace policy of the Governor's Office of Employee Relations, 2000)

The following is a general overview of the Omnibus Transportation Employee Testing Act of 1991, covering drug and alcohol testing rules for persons required to have a commercial driver's license (CDL) and defined as safety-sensitive employees. This includes all functions performed "on-duty". From the time a driver begins to work or is required to be ready to work until the time the driver is relieved from work and from all responsibility to perform work.

New York State will comply with U.S. Department of Transportation rules implementing the Federal Omnibus Transportation Employee Testing Act. The Act mandates pre-employment, reasonable suspicion, post-accident, random, and follow-up/return to duty testing of state employees in positions requiring the possession of a Commercial Drivers License and defined as safety-sensitive.

Who is affected by these rules?

Operators are considered to be in "safety sensitive" jobs and are affected by these rules if they are required to have a commercial drivers license (CDL) and if they operate any of the following types of motor vehicles:

- Any that weigh more than 26,001 pounds,

- or are designed to transport 16 (including the driver) or more passengers,

- or are used to transport hazardous materials that are required to be placarded.

Alcohol Prohibitions:

Employees Must Not:

- Report for duty or remain on duty while having a Blood Alcohol Concentration (BAC) of 0.02% or higher;

- Possess, use, or be under the influence of alcohol while on duty;

- Perform any safety-sensitive function within 4 hours of using alcohol;

- Use alcohol for 8 hours following an accident, or until such employee has undergone an alcohol test;

- Refuse to submit to a required alcohol test.

Controlled Substance Prohibitions:

Employees Must Not:

- Report for duty or remain on duty requiring the performance of a safety-sensitive function when such driver uses any controlled substance. Prohibited controlled substances include: cocaine, marijuana, opiates, amphetamines and phencyclidine.

What tests are required?

The following tests are required:

- Pre-employment - conducted either before applicants transfer to or are hired or after an offer to hire, but before performing safety-sensitive functions for the first time.

- Post-accident - conducted after accidents on drivers whose performance could have contributed to the accident (as determined by a citation for a moving traffic violation) and for all fatal accidents. This requirement applies to operators of commercial vehicles as defined above. Further, the CDL operator must be sent for testing if (1) he/she was cited for a moving violation **and** any vehicle required towing, or (2) he/she was cited for a moving violation **and** someone involved in the accident required medical treatment away from the scene.

- Reasonable suspicion - conducted when a trained supervisor or Department official observes an employee's behavior or appearance that is characteristic of alcohol misuse or the influence of controlled substances.

- Random - conducted on an unannounced basis just before, during or just after performance of safety-sensitive functions.

- Return-to-duty and follow-up - conducted when an individual who has violated the prohibited alcohol and or controlled substance use conduct standards returns to performing safety-sensitive duties. Follow-up tests are unannounced, and at least 6 tests must be conducted in the first 12 months after a driver returns to duty. Follow-up testing may be extended for up to 60 months following return to duty.

Additionally:

- Ten percent of all CDL drivers will be tested for alcohol on a random basis each year.

- Fifty percent of all CDL drivers will be tested for use of controlled substances each year.

- Tests must be unannounced and spread throughout the calendar year.

- Random selection could result in a driver being selected for testing more than once in a calendar year.

What are the testing procedures?

Testing for controlled substances will be conducted by urinalysis. Alcohol testing will be conducted by a Breath Alcohol Technician (BAT) using a breath testing device.

Drug testing is conducted by analyzing a driver's urine specimen. The analysis is performed at laboratories certified and monitored by the U.S. Department of Health and Human Services (DHHS).The driver provides a urine specimen in a location that affords privacy; and the "collector" seals and labels the specimen, completes a chain of custody document, and prepares the specimen and accompanying paperwork for shipment to a drug testing laboratory. The specimen collection procedures and chain of custody ensure that the specimen's security, proper identification and integrity are not compromised.

The Omnibus Transportation Employee Testing Act requires that drug testing procedures for CDL drivers include split specimen procedures. Each urine specimen is subdivided into two bottles labeled as a "primary" and a "split" specimen. Both bottles are sent to a laboratory. Only the primary specimen is opened and used for the urinalysis. The split specimen bottle remains sealed and is stored at the laboratory. If the analysis of the primary specimen confirms the presence of illegal, controlled substances, the driver has 72 hours to request the split specimen be sent to another DHHS certified laboratory for analysis. This split specimen procedure essentially provides the driver with an opportunity for a "second opinion."

All urine specimens are analyzed for the following drugs:

Marijuana (THC metabolite)

Cocaine

Amphetamines

114

Opiates (including heroin)

Phencyclidine (PCP)

How is alcohol testing done?

The rules require breath testing using Evidential Breath Testing (EBT) devices approved by the National Highway Traffic Safety Administration (NHTSA). The NHTSA periodically publishes a list of approved devices in the Federal Register. Two breath tests are required to determine if a person has a prohibited alcohol concentration. A screening test is conducted first. Any result less than 0.02 alcohol concentration is considered a "negative" test. If the alcohol concentration is 0.02 or greater, a second confirmation test must be conducted. The driver and the individual conducting the breath test (called a Breath Alcohol Technician (BAT)) complete the alcohol testing form to ensure that the results are properly recorded. The confirmation test, if required, must be conducted using an EBT that prints out the results, date and time, a sequential test number, and the name and serial number of the EBT to ensure the reliability of the results. The confirmation test results determine any actions taken.

Are test results confidential?

Yes. All testing records are considered confidential. Test results and other confidential information will only be released to the employer and the substance abuse professional who evaluates the extent of the problem. If the employee grieves, or files a lawsuit in response to action taken by the employer, the employer may release information to the decision-maker only after written request or at the actual hearing.

Who can authorize testing?

The following can authorize testing:

- Pre-employment - personnel appointing authority

- Post-Accident - supervisor or law enforcement officer as mandated for fatality or moving violations

- Reasonable Suspicion - trained designated supervisor(s)

- Random - computer generated or other random selection device

- Return to Duty and Follow-Up - substance abuse professional.

What are the consequences for refusal or a positive test result?

Refusal to submit to testing is prohibited and is a violation of the Act. The consequences for a refusal are therefore the same as if the person had submitted to testing and received a positive result. Under these circumstances the employee must be removed from performance of any safety-sensitive function until such time as the driver submits to testing and the results are negative for alcohol (or) controlled substance.

Drivers who have an alcohol concentration of .04 or greater cannot return to safety-sensitive duties until they have been evaluated by a substance abuse professional and have complied with any treatment recommendations to assist them with an alcohol problem.

To further safeguard transportation safety, drivers who have an alcohol concentration of .02 to .039 when tested just before, during or just after performing safety sensitive functions must also be removed from performing such duties for 24 hours. If a driver's behavior or appearance suggests alcohol misuse, a "reasonable suspicion" alcohol test must be conducted. If a breath test cannot be administered, the driver must be removed from performing safety-sensitive duties for at least 24 hours. Any violation of these employer-based testing rules is not placed on, nor affects, the driver's CDL record. As with an alcohol misuse violation, a driver must be removed from safety-sensitive duty when the driver has a positive drug test result.

Will prescription medications affect my test results?

Prescription medications may affect test results. Any medications that affect the ability to perform the job safely must be reported to your supervisor.

Is professional help available?

Yes. Contact your employee assistance program representative for information on available services.

Will the Omnibus Transportation Employee Testing Act be enforced?

Yes. The Omnibus Transportation Employee Testing Act will be enforced. The rules are relatively rigid in terms of Who, What, When, Where and How.

blank

EAP

The Employee Assistance Program (EAP) provides support and assistance to employees who have work performance problems that result from some type of personal problem.

Supervisors should have available the names and phone numbers of the EAP Coordinators in their areas.

EAP Coordinators can help people identify the nature of their problem and link them with the appropriate profession or service.

While doing this, EAP Coordinators maintain the confidentiality of any person requesting information and/or assistance and assure that any disclosure is within the confidentiality guidelines.

Coordinators are non-judgmental when addressing the concerns of employees and they remain impartial and neutral in all Labor/Management discussions concerning an employee;

EAP is a voluntary and confidential service. An employee must choose to come to EAP, even though a supervisor may recommend EAP.

In most instances, discussions between an employee and the EAP Coordinator are confidential. However, the employee may sign a "Consent to Release Information" form, specifying the extent of the information to be released and to whom the information may be given.

There are a very few exceptions when confidentiality may not be maintained, without appropriate releases, related to the discussion between an employee and EAP or a supervisor and EAP regarding an employee. Such is only permitted when the employee presents a danger to self or others, when there is reasonable suspicion of child abuse or where it is required by law, Executive Order, or a work rule.

There is more information on the Employee Assistance Program on the IntraDot.

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Positive Work Place

DOT has a Positive and Productive Workplace Policy that is intended to guarantee a work environment free of any behavior or material that is inappropriate, obscene, insulting, disrespectful, harassing, or embarrassing to co-workers or the public. It is the supervisor's job to make sure that his or her crew and work area lives up to this standard. How is this obligation handled in the following case study?
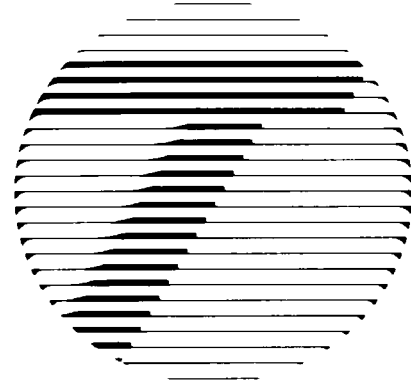
Pictures on the Walls

The Situation:

Tony, one of your best crew members, comes to you with an observation. He says that he was thinking about bringing his two daughters to visit the Residency on "Take Our Future to Work Day." Tony says he decided not bring them when he realized that they would see the obscene pictures that Jim has hanging on the wall in the break room. Tony isn't asking you to do anything, but his comments start you thinking. One thing that you realize is that the new crew member, Mary Ann, hasn't said anything about these pictures.

Questions:

What should you do about this?
Are the pictures "OK" since no has actually complained to you?
How do you think these pictures affect Mary Ann?
or Tony?
or the rest of the crew?
or people visiting the shop?

For more information, consult DOT's Bulletin on Promoting a Positive and Productive Workplace on the IntraDot.

The Incident Command System

As a NYSDOT supervisor, you respond to emergencies and unusual incidents when they occur. That should not be a cause for worry. There is a widely used system in place to handle these events. This system is called the Incident Command System (ICS). Training in ICS will be provided by the Department.

Overview

ICS helps us to prepare for, respond to, and recover from any incident or event. The system provides a way of handling incidents of any size, duration, or complexity. ICS is used by all levels of government including federal, state and local. Private companies and not-for-profit organizations also use ICS.

ICS meets any emergency with a maximum response by using standard principles, concepts, and terminology. These standards include:

- multi-agency coordination;

- unified command;

- training;

- identification and management of resources;

- qualification and certification; and,

- the collection, tracking, evaluation, and dissemination of information

Why Do We Use ICS?

On March 5, 1996, Governor George Pataki signed Executive Order No. 26 that established the National Interagency Incident Management - Incident Command System (ICS) as the State standard command and control system that will be used during emergency operations.

When an incident occurs, many organizations respond: fire departments, police, local highway departments, as well as federal and state agencies such as NYSDOT. The challenge is to get all these different organizations and their people to work together in

the best way possible. ICS requires that all responders use common terms, integrated communications, consolidated action plans under a unified command system.

ICS consists of five primary functions—

(1) Command
(2) Operations
(3) Planning
(4) Logistics
(5) Finance/Administration

Each function has separate and distinct responsibilities. When they are all used together, they become a powerful management system. The different levels of responsibility are as follows:

(1) Command has overall responsibility;
(2) Operations directs tactical actions;
(3) Planning prepares the action plan and maintains status reports;
(4) Logistics provides needed support; and
(5) Finance/Administration does cost accounting and procurements.

DOT Involvement in ICS

ICS is activated when a disaster or state of emergency is declared. ICS may be activated at the DOT regional level, at the DOT agency-wide level, or by the State Emergency Management Office (SEMO). DOT has an Agency Representative who coordinates DOT activities with SEMO when ICS is activated on a statewide level.

Everyone in each DOT residency and shop will receive some ICS training. If an emergency or disaster involves public transportation, (they usually do!) you will be contacted through your supervisor with information about what you should do.

Many training opportunities are available. Basic ICS training, ICS 100 is available on line at http://www.nysemo.state.ny.us/TRAINING/TrainingHome.htm. DOT also offers training from the very basics to the more advanced levels. First line supervisors receive ICS 100 and second line supervisors receive training up to the ICS 200 level.

Depending on the severity of the incident, the State Emergency Management Office may activate the State Emergency Coordination Center, where DOT, State Police, the Thruway Authority, Department of Health and other agencies will have Agency Representatives.

MOTIVATION

Performance Objective:	**Supervisors will set a climate in the work place that allows employees to express their motivational drives through work.**
Learning Objective:	**Supervisors will understand how employees can be encouraged to put their best efforts into their work.**

Definitions of Motivation:

To Motivate is to provide an incentive for action.

Motivation is the inner drive of employees that results in satisfactory work performance. The term "inner drive" refers to the psychological and emotional factors of personality. Each individual wants to express these drives. The employee should be able to express his or her inner drives through work.

People want to work. People achieve satisfaction from successful work. People do not like being bored or idle.

The role of the supervisor in motivation is to create the climate, or work place environment, that capitalizes on the employee's inner drives.

Inventory:
What motivates you? Throughout your working life you may have had a variety of motivating factors. What are the factors that can make you want to work on a given job or project? Create a list below of the things that motivate you:

Employee Choices:

After you have listed your motivating factors, consider the following choices that face any employee in taking on responsibility for a job:

1. **Starting**:	The choice to take on a certain job.
2. **Continuing:**	The choice to expend a certain amount of effort on a job.
3. **Finishing:**	The choice to persist in expending energy until the job is completed.

How do the motivators that you have listed fit into this list of choices? Go through the list and decide whether the motivators fit choice 1, 2, or 3. There may be elements of all the choices in each factor, but ask yourself to consider the most import role of that factor in motivating a person. Does it motivate a person to START, to CONTINUE, or to FINISH a job?

_____

Do your subordinates have the same motivational profile that you do? How do their priorities differ from yours? From each other's?

What are the factors that account for differing motivational priorities?

Motivation Theory:

Supervisors need to be aware of the theories of motivation so that they can provide guidance that will help employees put their best efforts into their work.

One important theory of motivation can be found in the work of the psychologist, Abraham Maslow. His view is that people have a <u>hierarchy of needs</u> built up layer by layer like a pyramid. In Maslow's pyramid each layer supports the layer above it. Here is a picture of Maslow's pyramid:

```
              ┌──────────┐
              │  Self-   │
              │ Actual-  │
              │ ization  │
          ┌───┴──────────┴───┐
          │   Recognition    │
      ┌───┴──────────────────┴───┐
      │       Belonging          │
  ┌───┴──────────────────────────┴───┐
  │             Safety               │
┌─┴──────────────────────────────────┴─┐
│         Physical Well-being           │
└───────────────────────────────────────┘
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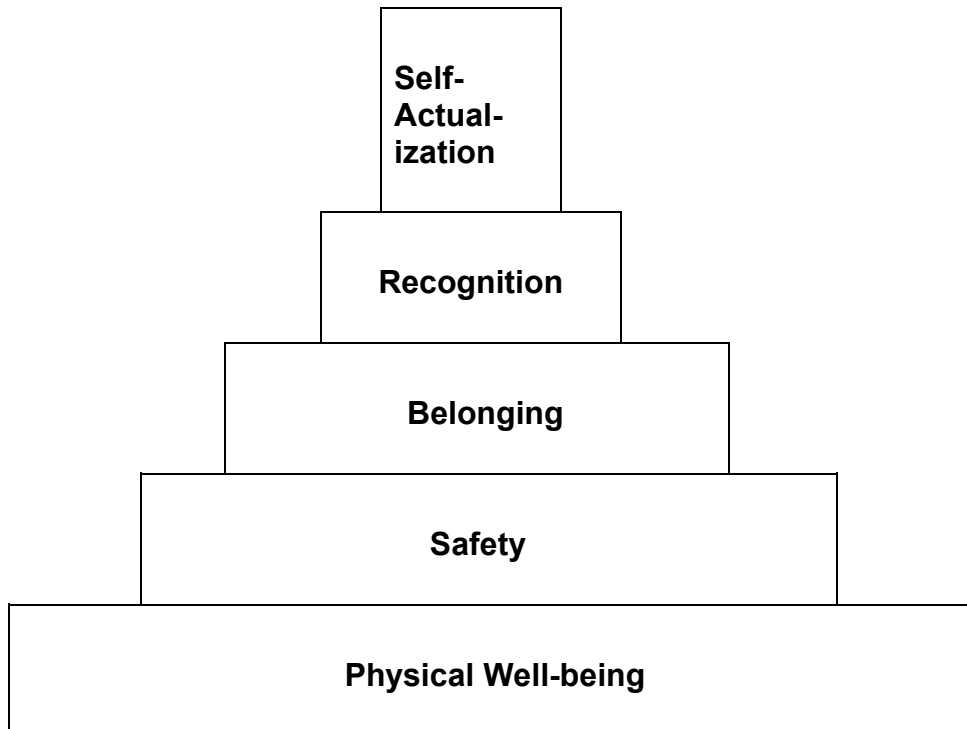
- The bottom layer of Maslow's pyramid consists of needs for **Physical Well-Being**: food, shelter, clothing, a pay check, etc.

- Once these needs are met, the next layer of needs becomes the prime concern: **Safety**, a secure environment, absence of any threat, absence of any hazard.

- If you satisfy the safety level, the next level is **Belonging**: the need for acceptance, defined roles, group pride, work-unit cohesion, etc.

- The level made possible by the feeling of belonging is **Recognition**: the need for a positive self-image, self-esteem, recognition of individual contributions, etc.

The level that rests on top of the pyramid and that is made possible by the satisfying of the needs below it is **<u>Self-Actualization</u>**: the development of the individual to his/her full potential, **SUCCESS**, feeling like a winner, etc.

Frederick Herzberg, a famous psychologist, further developed the **needs-satisfaction** theory of motivation. Herzberg recognized that in addition to motivators there are <u>demotivators</u> or "hygienic factors" that can cause employee dissatisfaction. These demotivators include boredom, bad relationships, bad policies and bad supervision, bad working conditions, and other factors that are essentially the reverse of positive motivators.

Another advocate of the **needs-satisfaction** theory of motivation is David McClelland. In McClelland's view, the self-actualization apex of the satisfaction pyramid can have different meanings for different people. In other words, different people perceive success in different ways. For example, one individual will only feel satisfied if work allows opportunities for **<u>ACHIEVEMENTS</u>** that are tangible or perceivable. Another person will only feel satisfied if accomplishment at work comes with **<u>AFFILIATION</u>**, or recognition of relationships. A third person will only feel satisfied if he or she has opportunities to **<u>INFLUENCE</u>** other people at work. Everyone feels these needs to a greater or lesser degree. McClelland believes that in each individual, one need will predominate and provide the key to that person's motivation.

<u>Equity</u>:

Another important idea about motivation is the Equity Theory. This means finding a fair or balanced amount of challenge and reward for each person, depending on their assignments and abilities. An equitable workplace is not necessarily one in which every employee receives identical treatment, but if workers believe they are treated fairly, they will be satisfied and work harder toward achieving personal and organizational goals.

<u>Reinforcement</u>:

The Reinforcement Theory of Motivation suggests that clear performance standards and positive feedback will influence employees to attain objectives. In other words**,** when people do a good job, tell them so.

<u>Expectancy</u>:

Expectancy theory suggests that people choose behaviors and set goals based on what they expect to get out of it. Supervisors need to answer the employee's question: "What's in it for me?"

All of these theories contain important elements of truth. Supervisors should consider all these ideas in setting a motivational climate or selecting a motivational message.

Evaluating Your Motivation Skills:

Circle the number which best describes your motivation skill. Be honest.

I take time to explain what I expect from my subordinates in very specific terms.	3	2	1	I give only general goals that my subordinates may not understand. Such as: "Do a good job."
I try to consider the goals of my unit and the organization when I set goals for subordinates.	3	2	1	I seldom consider how the goals I set for subordinates reflect the goals of my unit or organization.
I discuss the goals I set for subordinates with them and explain why they are important.	3	2	1	I never discuss the reasons for an assignment or goal with a subordinate.
I try to get subordinates to agree to try to reach their goals.	3	2	1	I really do not know or care whether subordinates accept their goals or not.
I support my subordinates by helping them solve problems that affect their performance.	3	2	1	I seldom offer any help to my subordinates. If they fail to perform well, that's their problem.
I pay close attention to my subordinates' performance, so I can identify problems and praise good work.	3	2	1	I really pay very little attention to performance. I take action only when someone fails or makes a mistake.
I encourage subordinates to suggest ways to do the job better, and I try to use their best ideas.	3	2	1	I encourage subordinates not to rock the boat. They should do their job the way they are told and accept that.
I discuss subordinates' performance with them so they know why I think they did well or poorly.	3	2	1	I seldom discuss a subordinate's performance. I keep my performance observations secret.
I provide recognition and rewards (such as praise or more responsibility) for reaching the goals I set for subordinates.	3	2	1	I seldom recognize or reward good performance. I tend to concentrate on punishing bad performance.
I tell subordinates what they can expect if they do well, and I deliver it if they do.	3	2	1	I seldom link rewards to performance or explain how rewards relate to performance.

I judge subordinates' performance only on the goals I set. I do not let personal prejudice influence my judgments.	3 2 1	My performance judgments are frequently influenced by my personal prejudice about a subordinate.

Scoring:

29 and above=	very good motivation skills
25 - 28 =	fairly good motivation skills
17 - 24 =	average motivation skills
8 - 16 =	below average motivation skills

Questions about Motivation:

Based on the self-assessment above, do you have any questions about motivation? These could include questions about motivational approaches that have worked in your unit, morale challenges, and motivational opportunities.

Summary

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Summary

Your study of basic supervision has covered the following points:

DELEGATION involves checking for:
1. responsibility, and assigning:
2. accountability, along with:
3. authority, and following up with a check of:
4. Who Does What?

LEADERSHIP involves choosing a leadership style appropriate to your situation, and explaining your choice of style to your work team.

DECISION MAKING requires a disciplined process of problem solving. Supervisors need to explain their decision making process to their work teams.

You can avoid COMMUNICATIONS traps by thinking through WHY you are communicating.

Follow the rules of COUNSELING to handle unacceptable behavior.

Use PERFORMANCE EVALUATION to (1) let employees know how they are doing, (2) plan their development of skills, and (3) gather information for management decisions.

Manage DIVERSITY by accepting, incorporating and empowering diverse human talent and avoiding instances of discrimination.

Identify and control internal risks and vulnerabilities in the way we do our work.

Use MOTIVATION techniques that are based on the needs of the employee. Set up a work place environment in which they can express their personal drives through their work.

Remember: You and your supervisor can use the information in this manual to create a performance program for your supervisory duties.

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SUPERVISOR'S RESOURCE LISTING

There are many areas of work in which supervisors will need the guidance of Department and NYS policy. This resource listing will help you find policies in the DOT Manual of Administrative Procedures (MAP), and in union contract articles. Supervisors may also need to check Department bulletins. Bulletins are usually kept near the MAP binders in DOT offices.

The MAP gives the Department's official position on many issues. The MAP is a large collection of policies which is usually kept in yellow loose-leaf binders in every DOT bureau, shop, and residency. The MAP is also available on line at: http://intradot/jnmap/index.html

For other resources for first line supervision please check the IntraDot sites offered by the Office of Human Resources.

These same issues are often addressed in CSEA and PEF contracts.

The chart below lists subjects of interest to supervisors and gives the MAP page number (Code) where they can be found. Contract articles on these subjects are also referenced below.

MAP Page Number (Code)	SUBJECT :	CSEA Article	PEF Article
4.2	**HIRING**		
4.2-1-2	Posting of Job Vacancies for ASU and OSU	45	16
4.2-1-3	Requests for Reassignment to Another Work Location		
4.2-3	Personnel Status Changes		
4.2-5	Personal History Folders	18	20
4.2-5-1	Transfer of Personal History Folders		
2.19-2	**ADA:** Requesting Reasonable Accommodation under the Americans with Disabilities Act		
4.3	**ATTENDANCE**		
4.3-2	Processing Bi-Weekly Attendance and Labor Distribution Reports	10.10 32	12.17 32
4.3-3	Absence - Extraordinary Circumstances	10.12	12.13