

PREPARATION AND TRAINING OF REHABILITATION SUPERVISORS
In the
CALIFORNIA DEPARTMENT OF REHABILITATION

ARP 710 A Seminar in Organizational Development
Post Employment Training: Rehabilitation Administration (PET-RA)

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ABSTRACT

Currently, new Rehabilitation Supervisors begin their positions at the State of CA Department of Rehabilitation (DOR) without adequate preparation. The RS position plays an integral role between the SVRCs and upper management. The Rehabilitation Supervisor (RS) becomes a supervisor by appointment when they are promoted from the position of Senior Vocational Rehabilitation Counselor (SVRC) to Rehabilitation Supervisor. They are not necessarily promoted by their skill set.

The DOR wishes to increase its training opportunities and recognizes the need to provide ongoing support to build SVRC skills to those who may become future RSs. Training funds and resources are now being utilized to develop the rehabilitation counseling skill sets of SVRCs in accordance with CSPD. There are limited funds to train new RSs. Training for RSs usually is provided peer to peer. The Department needs a low cost method that can be easily updated as a means to provide training to RSs at the local level.

The purpose of this research study is to investigate the need for preparation and training of Rehabilitation Supervisors for California Department of Rehabilitation (DOR) and to help develop affordable, efficient, and consistent training. We will review the current state of affairs for training along with interviewing individuals in the field about this departmental need. Does the department have a clear vision in place? Will the findings of this research project show the importance of developing critical competencies skills to emerging leaders? Has the preferred method of training changed in the last five years when a similar study was conducted to California DOR? These investigative strategies will help highlight factors, both pros and cons, impacting the operation and

delivery of services to consumers.

The findings of this research study will be presented to the 710A participants, our client, and the Executive Leadership Team of CA DOR.

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INTRODUCTION

The Department of Rehabilitation (DOR) in California has addressed in the 2006 and 2007 State Plan Updates under Attachment 4.11 (b), the Comprehensive System of Personnel Development (CSPD). This response was under the guidance of Rehabilitation Services Administration (RSA) to meet the regulation 34 CFR 361.18 “describe the procedures and activities the designated State Unit will undertake to establish and maintain a comprehensive system of personnel development (State Plan, 2007, p.2). The State has made a commitment to meet CFR 361.18 (d) which states “the state plan must include the State agency’s policies and describe the procedures and activities the State agency will undertake to ensure that all personnel employed by the State unit receive appropriate and adequate training.” The DOR is committed to maintaining support for in-service, out-service and academic training that ensures counselors receive the necessary knowledge and skills to be successful and to provide developmental activities for new and emerging leaders (State Plan, 2007, p. 21).

PURPOSE OF STUDY

The purpose of this study is to investigate the need for preparation and training of Rehabilitation Supervisors for California Department of Rehabilitation (DOR) and to help develop affordable, efficient and consistent training. The parties that will benefit from this study include the Department and its Rehabilitation Supervisors who have been newly appointed to this classification. It will also benefit counselors and consumers.

This topic was presented as a critical need for the Department because it is expected 40% of management level staff throughout the State will leave DOR within the

next five to 10 years. Some districts will be impacted at a greater percentage level. The parameters of the study were established from direction provided by the Department of Rehabilitation's Executive Leadership Team (ELT) and spearheaded by one of the Deputy Directors of Employment Services and one District Administrator in Northern California. According to the 2007 State Plan, the State agency will undertake to ensure all personnel employed by the State unit (DOR) receive appropriate and adequate training. The State Plan also notes DOR is committed to maintain support for in-service, out-service and academic training that ensures counselors receive necessary knowledge and skills to be successful and to provide developmental activities for new and emerging leaders. This is evidenced by both commitments of staff and resources to the above mentioned training approaches (CSPD, p. 21).

This study group completed a follow-up on the study done in 2002 by a San Diego State University Post Employment Training in Rehabilitation Administration (PET-RA) group that identified the Critical Leadership and Management Competencies of Rehabilitation Supervisors in CA DOR who suggested gathering information from persons supervised by Rehabilitation Supervisors and resources be devoted to the development of leadership and management leadership competencies prior to promoting to Rehabilitation Supervisors.

The outcomes of our study are three fold:

- (a) Identify the preparation methods of future leaders and assist employees in understanding these types of career opportunities;
- (b) Identify the need to develop a formal training program by polling both Rehabilitation Supervisors and District Administrators;
- (c) Investigate the preferred style of training and see if there were any changes

since the PETRA study in 2002.

Ultimately by exploring these above outcomes, changes to the training and development system can be implemented at a faster pace which in turn would have a trickle down impact. It will afford a new Supervisor additional strategies in assisting their staff to better understand the mission of DOR and strive toward excellence in meeting the Federal and State Regulations so they can provide quality and timely services to the individuals with disabilities in the California DOR delivery system.

DOR has coordinated the graduate education with the Rehabilitation Continuing Education Program (RCEP) XI at SDSU and educational institutions throughout the nation who provide expanded academic and certificate opportunities to develop leadership skills for Senior Vocational Rehabilitation Counselors, Rehabilitation Supervisors, Rehabilitation Specialists, District Administrators, Analysts, and Section Chiefs. Additionally, the DOR has committed resources and staff to the National Rehabilitation Leadership Institute to support on-going development of executive staff (State Plan, 2007, p. 23).

RESOURCES AVAILABLE THROUGH DOR

The current conditions regarding preparation and training for Rehabilitation Supervisors are standardized under California codes developed by the Department of Personnel Administration. There are two sections of the Department of Personnel Administration (DPA) Rules on Training (also known as) California Code of Regulations, Title 2. Administration, Chapter 3, DPA, Article 17. Training and Government Code, Title 2, Division 5, Part 2.6 that highlight the purpose, definitions of training along with the training policy, plan, and evaluation component. In order to

comply with DPA Rules on Training, DOR must have a training plan in place.

There are two supervisor guideline manuals available for new DOR supervisors. One is titled “Supervisor’s Handbook: A Guide to Employee Conduct and Discipline, June 2004 revision” developed by The California Personnel Administration, Policy and Operations Division. The other guideline is “Establishing and Monitoring Performance Documenting Performance and Behavior” developed by the DOR Human Resources Section. SPB Rule 172 identified the general qualifications of employees in state civil service. One page identifies information related to training employees and areas to observe if performance is substandard. The use of the state form titled Individual Development Plan (STD 637) can be used to provide adequate training and development for employees (June 2004, Supervisor’s Handbook, p. 8). DOR’s Staff Development Section has a resource library with various materials that can be utilized for training purposes along with other references to other training websites, such as the California Network of Learning Professionals (CNLP).

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California Government Code Section 19995.4 (b) requires State Departments to provide 80 hours of supervisory training to all employees appointed for the first time to a designated supervisor position on or after January 1, 1984. This 80-hour program is

conducted by CPS Human Resource Services, a governmental agency, committed to improving human resources in the public sector. This program is designed to assist the new supervisor in making the transition to a first-time supervisory position by helping develop supervisory skills. This program combines #409 A and #409B and will meet the requirements of Government Code Section 19995.4(b) for a new supervisor once an employee completes this program. Each course is 40 hours of instruction (Callori, Reyes-Sanchez, Scoles, Tucker, 2002, p.14).

As part of DOR's Staff Development Section training plan, there are four elective courses available to supervisors and management level employees: Training for Supervisors and Managing Diversity in the Workplace. Each course is two days for 16 hours total. Managing Workforce Communication, and Ergonomics are each one-day courses. A description of these courses can be found in Appendix A. In comparison, new SVRCs receive training which includes 10 core classes which incorporate consumer empowerment theory in each class.

Each DOR District has a training coordinator who helps coordinate training for all local district employees based on guidance of the District Administrator (DA). On an annual basis, the district coordinator submits an Employee Training Needs Assessment Chart identifying training courses offered via the Staff Development Section. One DA in Northern California provides structured leadership training for staff interested in promoting to supervisor. One Southern California DA works with other DAs to develop an in-house Leadership Training for Rehabilitation Supervisors (See Appendix B). One DA indicated utilizing courses offered by CPS Human Resource Services to assist selected employees with their training needs. This governmental agency provides training for the following types of course sub-categories: analytical skills; budgeting skills;

career development skills; compliance courses: math skills; personal development skills; presentation and instruction and facilitation skills; relationship and behavior development skills; leadership skills; managerial skill development; supervisory skill development; team development; and writing skills.

DOR collaborates with selected postsecondary education institutions that provide additional supervisory development training opportunities. These include a Supervisory Skills Program is offered by the UC Davis Management Development Program with classes in Sacramento (See Appendix C). SDSU in partnership with the CALIFORNIA DOR has developed a Rehabilitation Supervisor Academy offered to Rehabilitation Supervisors from Nevada, Arizona, and California. Enrollment is limited to 14 enrollees per year. This Academy was recently developed and in its second year of operation. Part of the curriculum, in both the SDSU PET-RA and Rehabilitation Supervisory Academy, discusses leadership development and the use of both mentoring and executive coaching as a means of enhancing a participant's professional development and the organization's mission and goals achievement.

The Governor has a mentoring partnership website, <http://www.mentoring.ca.gov/>, that illustrates best practices, a mentor toolkit, e-mentoring resources, and a directory of 500 youth programs. The Department of Personnel Administration has a mentoring leave policy however this leave can only be granted to persons assisting with a youth mentoring program. This is referenced under recommendation #2 (b).

LITERATURE REVIEW

A PET-RA study was conducted in 2002 focusing on “identifying the leadership and management development needs of Rehabilitation Supervisors in the California Department of Rehabilitation (CA DOR) and to propose strategies to address those needs” (Callori, et al., 2002, p. 10). The study group contacted twenty states regarding their training programs for Rehabilitation Supervisors. Fourteen states responded and they found that “All states offered ongoing development of their supervisors which consisted of in-house training by the agency’s staff development Unit, Department of Human Resources, District Administrator or Regional Manager. Formal or informal mentoring was in effect in most states. The mentoring consisted of one-to-one mentoring, partnering with another manager or supervisor, holding monthly or bimonthly, or periodic Rehabilitation Supervisor meetings and seminars, and training by local, district and regional managers and area administrators. Thirteen states provided distance learning opportunities through colleges and universities” (Callori, et al., p. 17). Further information was collected by survey of the 110 Rehabilitation Supervisors and 17 District Administrators in the California Department of Rehabilitation. The study group found leadership emerged as a clear priority for competency development. The Leadership competency was defined as “Demonstrates and encourages high standards of behavior, adapts leadership style, situations and people; empowers, motivates and guides others. “ Another priority area identified for further development was in human resources management. This competency was defined the following way: “effective recruitment, selection, training, performance appraisals, recognition, corrective action, promoting affirmative employment, good labor relations, and employee welfare “ (Callori, et al., p. 55). Rehabilitation Supervisors indicated the preferred format for developing supervisory competencies were seminars and workshops (67.8 percent), conferences (63.2 percent),

classroom or lectures (46 percent), and mentoring (43.7 percent) (Callori, et al., p. 52).

Below is a sampling of the topics discussed at the recent state visit with the Rehabilitation Services Administration team in July 2006. This study group will complete further appraisal of both literature and input from the field to see what factors correlate between training new supervisors and in productivity of their employees. The points below reveal current practices and how the federal government views California in meeting the established state and federal regulations.

- Kathi Mowers Moore, Section Chief of Staff Development described how DOR has revised the standards of VR counselors that resulted in a new standard, SVRC/QRP, that was established by State Personnel Board on May 23, 2006. (Sadler, p 3)
- Dr. Luciana Profaca and Mr. Gary Leete, Deputy Directors of Employment Preparation Services noted the challenge of hiring new staff, specifically those individuals who can assist with meeting the growing need for culturally diverse clients. (Sadler, p. 3)
- Dr. Catherine Campisi, DOR Director, as well as Juney Lee, Deputy Director of Administration, Candace Gilmore, Chief of Budgets and Financial Forecasting and Kathi Mowers-Moore reviewed the significant progress in addressing the Corrective Action Plan (CAP) and Performance Improvement Plan (PIP) developed jointly with RSA. June Kuehn, DA in Orange/San Gabriel shared a printout containing individual VR counselor performance on the RSA standards and indicators (Sadler, pp. 2,3).
- Deborah Sweeney, DA in San Jose developed a mentoring guide to train

new counselors. She also noted a great need for succession planning and leadership training as approximately 50% of her district employees will be retiring in the near future (Sadler, p. 4).

- Shelia Conlon-Mentkowsi, DOR Contract Administrator for the Client Assistance Program identified the main concerns, voiced by consumers, are: VR counselor transfers, VR counselors not communicating the rights and responsibilities, and issues regarding the disability community in CALIFORNIA is very involved in determining the direction of DOR and DOR considers their input in the timeliness of services. (Sadler, p. 5)

Some impressions made by the RSA team after talking with DOR staff and many stakeholders were:

- CA DOR possesses the main ingredients necessary to develop and maintain a high performing VR agency. The agency's internal systems enable them to monitor program performance and respond to Federal compliance requirements.
- CA DOR is making progress in resolving the CSPD finding that resulted in conditional approval of the state plan last year.
- CA DOR has implemented an effective plan for conducting a Comprehensive Needs Assessment and is using the results to establish a system for continuously improving their performance. (Sadler, pp. 8,9)

The need for preparation of emerging leaders is not limited to DOR – it is a national need. As noted in the President's Management Agenda 'Winning the Game with Succession Planning,' President G. W. Bush states "organizations need to plan for their

future leadership needs. It takes time and investment to recruit and develop future leaders so that responsibilities can be handed off smoothly and easily when the time comes.

Succession planning is not just preparing for retirements. People leave their positions for many reasons and succession planning helps agencies prepare for the loss of expertise and institutional knowledge that can happen anytime. For succession planning to work within an agency it needs solid planning, top-level commitment, planned investment, and managerial accountability” (Bush, 2003, p.1).

This presidential management agenda also highlights some promising practices used by six federal agencies. It should be noted one of the strategies identified by Social Security Administration is for “rigorous selection process and professional development and training through mentoring, rotational assignments and core training sessions” (Bush, p.3). The Department of Transportation is developing a model depicting a leadership pipeline rather than focusing on one level of leadership. This agency will also focus on effective succession planning with leadership development through “experiential learning (rotations, targeted reassignments, action learning, coaching and mentoring), not just classroom and on-line training programs. Leadership competency framework tied to Executive Core Qualifications provides a shared approach for recruiting and development of supervisors, managers, and executives” (Bush, p.3).

The Department of Veterans Affairs has identified one strategy “to further professional development the VA has implemented the High Performance Development Model as its conceptual framework for all employee development. The model focuses on eight core competencies, performance based interviews, continuous assessment, continuous learning, coaching/mentoring, competency development and performance

management” (Bush, p.4).

The California Department of Personnel Administration describes the concept of succession planning as “...a goal of having the right people, across the organization, in the right place at the right time. Succession planning is an important subset of workforce planning. Its goal is the same, but its focus is specifically on having the right leadership in place at every level of the organization.” However, this study group was unable to find a DOR document identifying its workforce or succession plan (See Resources, DPA Publication Manual).

In a curriculum model for the development of Rehabilitation Managers and Leaders written by Atkinson and Bitter and published in the Journal of Rehabilitation Administration in 1997, it was suggested there are eight considerations for a curriculum model to be developed. These are described below and include the differences between management and leadership.

A primary objective of the succession planning is the early identification of new or emerging leaders and to provide access to in-service training, out-service training and internal work assignments to provide growth opportunities for personal development and advancement.

Succession planning should be part of the organization strategic plan and thinking process.

A desired curriculum and courses, for managers and leaders, focuses on learning in contrast to teaching. The goal is for participants to be self-directed during the learning process and should be targeted to a set of competencies, which include different approaches, for example mentoring, face-to-face training and distance training.

Atkinson and Bitter (1997) cite the work of Daniels (1997) to indicate the

differences between management and leadership. They draw on the work of Covey (1989) to describe the difference. “Leadership involves setting direction with vision, values, and creativity. Management on the other hand, is dealing with problem solving, execution, and fulfilling a plan inspired by leaders “ (p. 287).

One approach to define competencies as described in Bitter and Atkinson’s article is the “Leadership Effectiveness Framework” (LEF). This approach presents 22 managerial and leadership competencies that translate into 96 skills. The Federal Office of Personnel Management developed the LEF competency based leadership approach. The LEF makes two contributions desirable in the formation of Rehabilitation managers and leaders. “First, the approach identifies four levels including basic, first-level (supervisors), mid-level (managers) and higher level (executives). Secondly, the LEF not only identifies and defines competencies, but also establishes a framework that includes the assessment of an individual’s skills in relation to them” (p. 287).

Measurement permits the identification of competencies and assists individuals in areas in which they may want to grow. The primary benefits are providing a gap analysis and standardization of training.

General approaches to curriculum can be categorized into mentoring, face-to-face training, and distance learning. Mentoring is often a one-to-one approach between the tutor and the learner. The advantage of mentoring is it is individualized and flexible in terms of significance and pace. A disadvantage is it is time consuming. The concept of face-to-face training can include mentoring on an individual or group basis. Distance learning includes the use of videos tapes, CD-ROMS, the Internet and audio conferencing. Distant learning has improved educational accessibility for those who must travel to participate in training, for those with family considerations and for those with

disabilities. Perhaps the most desirable curriculum design is an integration of all three approaches, as appropriate.

Perhaps more important is the individual's role in learning. Atkinson and Bitter (1997) draw on the work of Hart (1991) who stated "The most significant factors are: (a) deciding for themselves what is important to be learned; (b) being able to use what they have learned; (c) having past experience from which to draw; and (d) making the best use of training that is problem centered (p. 289). The level of motivation is particularly critical when learning through distant learning. The bottom line is that managers and leaders want to take responsibility for their own individual learning. They must see 'What is in it for me?'"(Bitter, 1997, p. 289).

A variety of organizations are stakeholders in the development of rehabilitation leaders and managers. Included are employers, educational institutions that offer degree programs and continuing education opportunities. Employers also offer mentoring, on the job training, guidance and most important, identify staff development needs (Atkinson & Bitter, p. 289).

"Maximizing educational resources involves planning and teamwork" (Atkinson & Bitter, p. 289). Coordination is the first step toward avoiding duplication of efforts. "Collaboration involves a short term relationship between or among programs, and Partnerships are special relations, usually long-term relations."

Developing a curriculum model based upon a set of competencies creates a roadmap for individuals and organizations and educational institutions that can be used to create and enhance leadership potentials.

In summary, Atkinson & Bitter (1997) present a curriculum model for leadership development in rehabilitation which:"(a) recognizes differences in management and

leadership; (b) identifies core competencies that can be related to level of development; (c) measures the competencies; (d) permits achievement of competencies; (e) empowers individuals to design their own program, participate in their own schedule and learn by using their own methods; (f) uses various educational resources for developing managers and leaders, including employers educational institutions, professional associations, and accreditation associations ; (g) creates Partnerships, alliances , collaboration and coordination among resources, and (h) allows for recognition for achievement across programs” (p, 291).

Stephens and Emener (1988) wrote, “Preparing The Professional Rehabilitation Administrator, Manager and Supervisor: In-Service and Continuing Education Issues and Approaches“ which examined the relevance of continuing education and in-service training for Rehabilitation Professionals. It discusses some critical issues affecting management development. Although this article was published 19 years ago, the single most important issue that remains relevant to today’s environment in rehabilitation agencies is the promotion of rehabilitation professionals to supervisory and managerial jobs for which they’re seldom prepared. The question has been for the human resource development professionals: “How we can take good program people and help them to become good managers?“ Moreover, it appears many rehabilitation professionals have continued being appointed politically to higher management positions and placed at the top of the rehabilitation organizations. Promoting through the rank bias only contributes to less efficient ways to provide service delivery to clients. On the other hand, many rehabilitation professionals have a tendency to seek further educational training in management, public administration and business to supplement their professional schooling. Given this trend, we could be developing the “Professional Manager.”

Corrigan, Garman, Canar, and Lam (1999) identified characteristics of Rehabilitation Team Leaders. A survey was conducted between two groups' leadership factors which were identified in the study and the results were compared between the groups. One group was a mental health team and the other group a team of 355 members from the Department of Vocational Rehabilitation in the State of Illinois. The purpose was to determine whether staff members reported similar leadership factors between team members. Survey results indicated four factors overlapped. The four factors were: Autocratic Leadership; Clear Role and Goals; Reluctant Leadership; and Vision.

The Autocratic Leadership Factor results indicated that team members showed concerns over those types of leaders that lack good communication skills, who communicate with people only when necessary, and in their own interest. Usually, those leaders discipline people to get things done.

The Clear Roles Factor results indicated the importance for leaders to clarify team roles and goals. Also, this factor pointed out the necessity to provide team members with clear instructions or guidelines to accomplish and coordinate work assignments. The findings suggest goal setting may help improve such problems in the rehabilitation team.

The Reluctant Leadership Factor results indicated that members of both teams desired to work for leaders who can assume responsibilities and make difficult decisions when required.

The Vision Factor results found members of both teams were troubled about jobs done with no sense of direction or accomplishment. The study found leaders could develop vision by learning skills to help them inspire motivation and team building.

Analysis from the two samples addresses factors related to diversity issues. Team members viewed that leaders from minority groups were not understood and respected by

groups representing the majority. Team members voiced that diversity related issues can be handled through conflict resolution methods. Findings from the study suggest elements for a future leadership-training curriculum.

There are many ideas and views to consider when developing a formal training program. If a company selects to adopt a quality function deployment to design a training module, a training coordinator should consider “who should give input, how to gather it, and how to use the information. They must also decide who should conduct the training and which delivery formats are appropriate” (Shaffer & Pfeiffer, 1995, p. 31). Often times, in-house sessions and self-directed courses are best suited when an employee can choose the topics and learning methods. By establishing the use of competencies, new and inexperienced employees, get an idea of the knowledge and skills necessary to do their jobs well and help determine the job expectations (Keith & Payton, 1995, p. 50). The use of competencies and performance indicators make it possible to develop a systemic approach to prepare frontline supervisors to carry out their role (Hewitt, Larson, Lakin, Sauer, O’Neil, and Sedlesky, 2004, p. 133). There are four major components to consider when developing a training program for employees. Learning opportunities and activities can be geared around practical skills, intrapersonal skills, interpersonal skills, and cultural awareness (Howe, 2003, p.2).

Another important component to consider when developing a training development program is that a company will need to find resources to enable supervisors to effectively do their jobs and the training will be de-centralized, employee directed and interactive in today’s work environments. To meet these challenges, more companies are taking a flexible approach that combines developing in-house training, using more computer-based training and using outside training contractors for selected topics,

especially in more technical areas (LeGault, 2000, p. 20).

This study group explored literature to help find possible pitfalls faced by many newly appointed supervisors and managers when an employee does not have any formal training to draw upon in his or her new assignment. Will this study group find research and literature to validate the benefits and need for utilizing a structured method of training? There are several articles that highlighted the metamorphosis that commonly takes place when a person is promoted from within the ranks of a company. Have you ever watched a person struggle in shifting from “buddy to boss?” Have you worked for a company that adopted the “sink or swim” or “magic wand” method of training for newly appointed supervisors? The literature and survey data will reveal how such predicaments impact an organization in relationship to the four frames.

Keeping these theories in mind, many supervisors are promoted from within the ranks and the difficulty making the transition from superstar to supervisor as “a magical transformation is expected to take place and many enter their new leadership position without any formal training.” A new supervisor needs direction on how to transition from buddy to boss; guidance on how to shift credit for a job well done to the team rather than to himself or herself; guidance on how to identify differing styles, approaches, and viewpoints that bring balance to any work team; and finally new supervisors need to learn to begin to build a team of excellence by encouraging others to take pride in their accomplishments and stretch them to excel when there are more work place demands and fewer resources. (Evans, 2005, p. 12,13).

“Getting Up to Full Speed” spoke about some management myths, such as “the majority of effective managers are not born, they learn and practice basic management skills to become effective leaders. Unfortunately, many companies thrust new untrained

employees into positions of authority with little or no formal training. Many companies no longer offer formal training programs for newly promoted manager, adopting a ‘sink or swim’ mentality toward their management staff. A new manager takes on their role without previous experience and often without formal training” (Jenkins, 2003, p. 117, Merit, 2000, p. 150).

Lombardo (2004) remarks “that 70 percent of skill development happens on the job and it is helpful to pick multiple models to compare and contrast various tasks so they excel.” Progressive leaders are choosing coaching as a fundamental part of their response to training. Coaching is a healthy, positive, and enabling process that develops the capacity of people to solve today’s business problems. Crane (2002) notes in his book, The Heart of Coaching, “As coaching becomes a predominant cultural practice, it will create a performance-focused, feedback-rich organization capable of creating and sustaining a competitive advantage.”

We were however able to find background information noting that “nuts and bolts” skills training will help new supervisors survive when they are able to make a transition from “superstar to boss” by learning, acquiring and adapting, and implementing to their new administrative role. Some of the skills and strategies supported by our literature review were: communication; team building; use of a mentor or coach; decision making and planning; vision; problem solving; professionalism; understanding workplace culture; and technical and ethical standards. These types of competencies were highlighted in the PETRA study completed in 2002 (Callori, et. al, pp. 44-47).

John Zenger wrote in 1988 about supervision in the manufacturing field, pointing out, “they (supervisors) play the part of innovative implementers of organizational vision

and have a far more central leadership role than ever before” and “executives pay more attention to the front line of the organization...supervisors and workers recognizing that these ‘action levels’ are key to quality, services, and innovation” and “gaining commitment takes precedence over getting control. And the supervisor wants people who take initiative, not merely follow orders. We can no longer ‘choose the best worker’ and hope it all works out. The skills and aptitudes of today’s supervisor needs may mean recruiting people specifically for such positions” (Zenger, pp 23, 24, 26).

“The New Face of Training” states training coordinators want the desired outcome of company employee training programs to have a positive effect on their organizations’ strategic plans and quality efforts. When implementing a new training process, a traditional performance-appraisal system was replaced with a system based on teamwork, empowerment, and coaching (Keith & Payton, 1995, p. 51).

DATA COLLECTION AND METHODOLOGY

In order to assess the current situation regarding preparation and training for the target group of Rehabilitation Supervisors, we needed to obtain input from the Rehabilitation Supervisors. The subject would not be complete without including the District Administrators responsible for hiring Rehabilitation Supervisors. Since we had a large respondent group of 110 Rehabilitation Supervisors and a short window of time to obtain their input, we utilized a quantitative survey method to gather information. We originally wanted to obtain input from the Senior Vocational Rehabilitation Counselors who typically promote to Rehabilitation Supervisors but it was recommended we not poll this group at this time.

Development of Survey Instrument

The survey instrument was developed by the study group with input from our colleagues at San Diego State University and reviewed and approved for distribution by DOR's Executive Leadership Team. We administered the survey electronically as an e-mail attachment and utilized a web-based online data collection system called Survey Monkey. Frechtling and Westat (2002, p. 49) states, "...web-based surveys are attractive... because the data collected can be put directly into a database, the time and steps between data collection and analysis can be shortened." They also indicate "surveys are typically selected when information is to be collected from a large number of people..."(p. 50). The study group refined the questions to make sure they were not double barreled or ambiguous. The survey consisted of 11 questions. Ten questions utilized a five-point rating scale. The 11th question involved ranking a list of items from 1 – 8 (Appendix D). The survey was pre-tested on randomly selected RSs.

Survey Administration

Clearance to administer the survey was obtained from DOR's Deputy Directors (Gary Leete, Luciana Profaca and Anthony Candela). A memo was sent by e-mail through them to all the Rehabilitation Supervisors. The cover letter introduced the study, its purpose and encouraged Rehabilitation Supervisors to participate (See Appendix E). The Rehabilitation Supervisors accessed and self-administered the survey by clicking on the web site indicated in the cover letter. The first cover letter was sent in early December 2006 and gave the respondents one week to respond. A second cover letter went out in mid December with another week to respond. We did this to see if we could increase the number of responses. At the conclusion of each self-administered survey, responses were automatically sent to a web based survey site to be tallied.

Limitations to the Survey

The survey tool we utilized indicated we received 90 responses out of 110 resulting in an 81.8 percent response rate. We determined there might have been sample bias as defined by Frechtling & Westat in which "some of those selected to participate did not do so or provided incomplete information" (2002, p. 26). We discovered that 10 respondents responded but did not answer any of the questions. This reduced the response rate to 72.7 percent. We believe respondents unfamiliar with this tool did not follow the instructions as indicated at the bottom of each page which showed a button labeled "next" and at the end a button labeled "done." If these were not clicked on each page consecutively, then the tool indicated there was a response but submitted it as blank. Also, if a respondent clicked on "exit this survey" at the top of the page prior to completing the survey, this was also considered a response and left blank. To remedy this problem in the future, we will provide more specific instructions in the cover letter on how to utilize the survey tool so we capture more complete responses. We realized there might have been response bias, which is defined by Frechtling & Westat as "Responses do not reflect 'true' opinions or behaviors because questions were misunderstood or respondents chose not to tell the truth" (2002, p 26).

Another limitation occurred when we did not collect demographic information that could have included whether the RS worked in Northern or Southern California and the length of time employed as an RS. Responses to these questions may have shed light on whether there were differences in preparation and training in Northern and Southern California or whether questions would have been answered differently if you were a new supervisor as compared to a seasoned supervisor. The responses only reflect the

individuals who responded and we do not know if the results would have been different if all 110 Rehabilitation Supervisors had responded. The design of the questions may reflect some bias on behalf of the study team. We thought these questions were the most important to ask and there may have been other questions that could have gleaned better input. If we had added an open-ended question at the end, i.e., “Is there anything else we should have asked?” or “Do you have any comments regarding the preparation and training of RSs?” we may have obtained more detailed input. It is important to note a 72% response is an excellent rate of return for a survey of this nature.

Development of Interview Questions

According to Frechtling and Westat, there are two types of interviews used to collect data. One is “a structured interview in which a carefully worded questionnaire is administered ...and the emphasis is on obtaining answers to carefully phrased questions. The other is an in-depth interview in which the interviewer does not follow a rigid form” (2002, p. 50). Our study group decided to use a structured interview. As mentioned above, three of the questions were open ended and one was exactly the same as the 11th question on the RS survey asking them to rank a list of items from 1 – 8 (Appendix F). The questions were designed to illicit as much information as possible in a short time about what they perceived to be the way DOR provides preparation and training for Rehabilitation Supervisors. We obtained input regarding question structure and sequence from our colleagues at SDSU and an Executive Leadership Team member.

Subject Matter Expert (SME) Interview Data Collection

We used an interview based on a qualitative approach to gathering information from our Subject Matter Experts (SMEs) due to the smaller number of respondents.

Subject Matter Experts were identified as individuals experienced in training methods and preparation of Rehabilitation Supervisors or supervisors for their role as supervisors and leaders. The California DOR District Administrators were identified as SMEs. There are currently 14 positions of District Administrator in California DOR, which include two vacancies. Therefore, 12 District Administrators were interviewed. We also interviewed a retired member of California DOR's Executive Leadership Team. Interviews were conducted with a representative from California DOR Staff Development Section and an individual from a private corporation familiar with supervision and leadership. All but one of the interviews got conducted informally in person or by phone and consisted of a set of four questions. Three questions were open ended and one question asked the respondent to rank items from 1 to 8. The individual from the corporation was unavailable by telephone or in person and provided her answers in writing through e-mail. Frechtling & Westat state, "The use of interviews as a data collection method begins with the assumption that the participants' perspectives are meaningful, knowledgeable, and can be made explicit, and that their perspectives affect the success of the project" (2002, p. 50).

Data Collection and Analysis

Our study group divided up the 15 respondents and we each interviewed 4-5 individuals. All except one respondent was interviewed by phone. The interviewer wrote down their responses and transcribed them into a MS Word document. In order to keep the confidentiality of each respondent, we assigned him or her a number. We combined all responses for each question on one sheet per question so we could compare the content of all the responses to each question. We started to identify themes and emerging

patterns from their responses. We organized these themes and patterns by frequency of their responses. Berkowitz describes the qualitative mode of data analysis as ways of “discerning, examining, and comparing contrasting and interpreting meaningful patterns and themes” (1996, p. 1).

Berkowitz (1996) cites Miles and Huberman (1994) who developed a three-part model of qualitative analysis. They described the first part as data reduction and “the process of selecting, focusing, simplifying, abstracting and transforming the data that appear in written up field notes or transcriptions” (p 2).

The second part involves data display in which “an organized, compressed assembly of information permits conclusion drawing...” “...it can be extended to a piece of text or a diagram, chart, or matrix that provides a new way of arranging and thinking about the more textually embedded data “(Berkowitz, 1996, p.2). The last part identified by Miles and Huberman is “Conclusion drawing.” This “involves stepping back to consider what the analyzed data mean and to assess their implications for the questions at hand ...it entails revisiting the data as many times as necessary to cross check or verify emergent conclusions” (Berkowitz, 1996, p. 8).

Limitations of Interviewing Instrument

When utilizing the structured interview approach to data collection, we were cognizant of the fact that we each have a different interviewing style. Since we were three interviewers, we realized we each have our perception and experience working with DOR, which can cause interviewing bias. We carefully asked the questions exactly as written and clarified only when asked and when it did not change the content and intent of the question.

We all have experience working for DOR in the capacity of a Rehabilitation Supervisor. We tried hard to avoid bias in interpretation of the text in the data reduction phase. We identified categories and analyzed how frequently these categories were discussed. We reviewed and re-reviewed each response to ensure we identified a consistent set of categories.

The respondents also had their style of relating to each analyst. Some respondents answered in whole paragraphs and others had only a few words to say in response to some questions. Some respondents went off the topic at hand and may or may not have been redirected to the question. The response sent by email was much more formal and structured than the informal interview. The response by e-mail had to be given equal weight along with the other responses. In order to protect the confidentiality of the respondents because they were such a small sample group; we agreed we would not directly quote their responses in our findings.

FINDINGS & THEORETICAL RATIONALE ANALYSIS

There was eager participation on the part of the DOR District Administrators to contribute their thoughts about this subject matter because it a critical component to the operation and delivery of services as evidenced by the top response pattern need in conjunction with the future departmental training needs based on the anticipated attrition rate caused by those leaving within the next 5 to 10 years. Subsequently, there were 38 suggested topics to consider when developing a leadership based training program which incorporates both leadership and management skill development around the needs of the Department, district, employee and our many stakeholders (See Appendix G). Several SMEs voiced frustration when responding to the interview questions that were related to

the substandard quality of training, the coordination of training, the timeliness of training, the availability of training, and finally the actual training styles utilized.

Another theme geared around succession planning was the fact that staff are unclear about the training and development policy, feel there is limited focus towards this subject, and past input from other workgroups seems to have gone by the wayside. The study group found the SMEs expressed some patterns related to the subject of preparation and training of new supervisors: The most glaring response was the need to develop a formal training program.

23 We need to start a leadership based training program

The remainder of the responses was placed into three clusters. There are five response patterns in the first-positioned cluster:

- ◆ We need to identify those individuals who want to promote and/or would be candidates for promotion.
- ◆ Participation in acting RS and DA roles and responsibilities is important for those interested in promotional preparation.
- ◆ Training is needed prior to promotion.
- ◆ Develop a Formal Mentoring program.
- ◆ At this time a succession plan does not exist.

There are six response patterns in this second-positioned cluster:

- ◆ Availability and/or development of training gets impacted by limitations of existing resources: time, travel, funds, and focus.
- ◆ No formal training program is in place.
- ◆ Allow SVRCs to take leadership courses to prepare for supervision.

- ◆ Supervisors have requested development of a “Nuts and Bolts” training.
- ◆ Create various incentives to entice employees to consider and accept promotional opportunities. This concept could be part of succession planning.
- ◆ Leadership and Supervisory Training is available typically using these courses: 409 A and B, PET-RA (SDSU), RS Academy (SDSU), and Supervisor Academy (Sacramento State University).

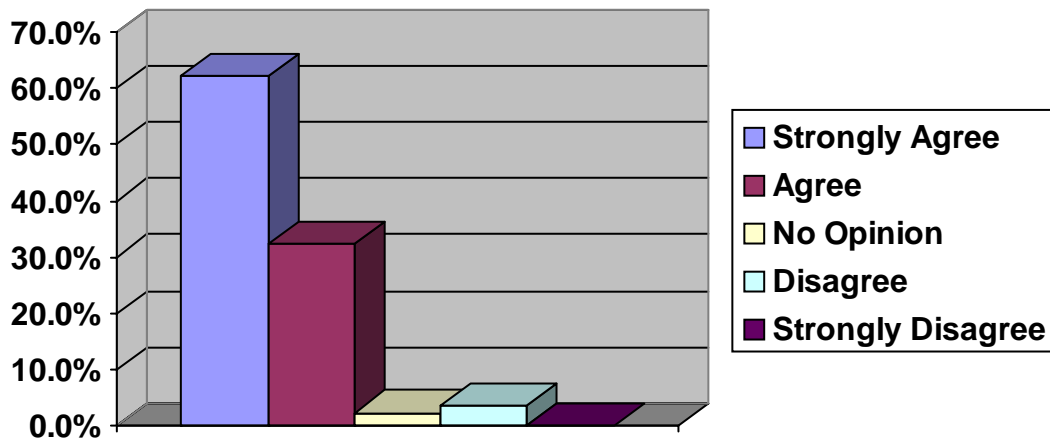
There are five response patterns in this third-positioned cluster:

- ◆ Although Staff Development coordinates training, many local resources are utilized to meet training needs at the district level.
- ◆ Currently informal mentoring is utilized in some districts.
- ◆ The best development foundation for training needs is employee initiated.
- ◆ Current training does not focus enough on DOR’s job.
- ◆ A workgroup needs to be formed to address development of leadership skills and training for supervisors.

Our findings reveal brief framing concepts as described in more detail by Lee Bolman and Terrance Deals’ *Reframing Organizations* (2003) later in this report.

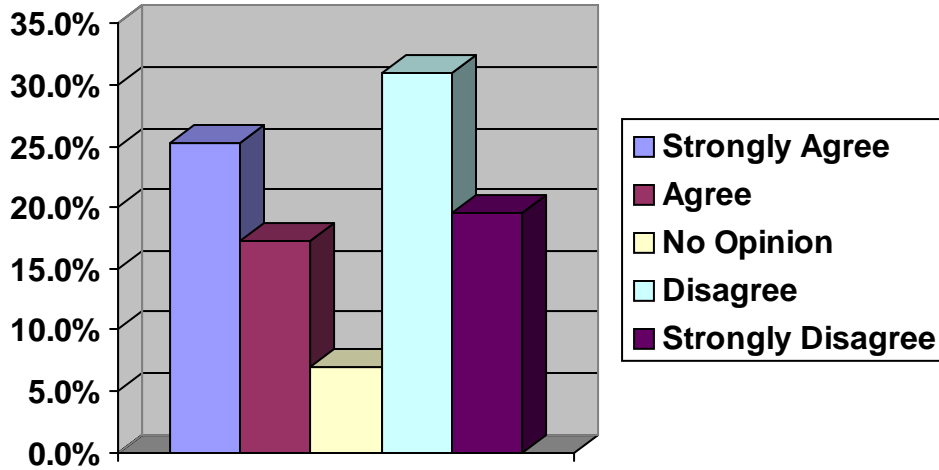
Survey Results of Rehabilitations Supervisors

Of the 110 supervisors sent the survey, 90 responded but we found out 10 submitted a blank survey. This reduced the response rate to 72.7 percent of the Department’s population of Rehabilitation Supervisors.

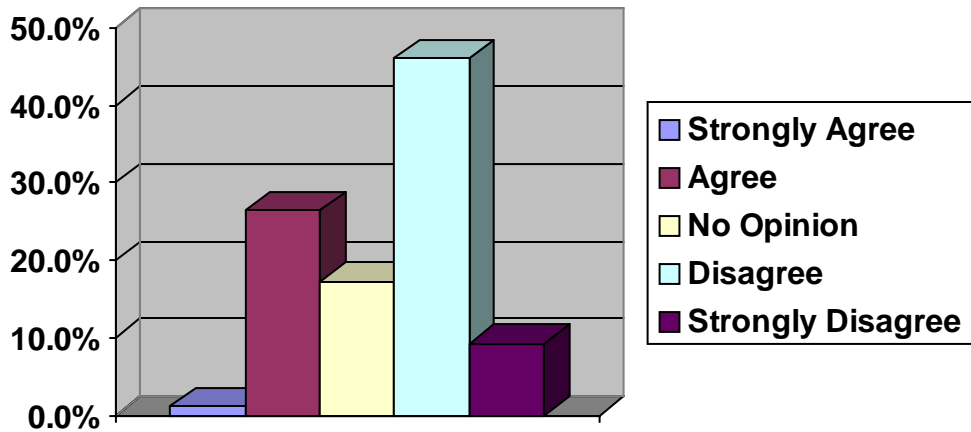


The survey consisted of 11 questions 1-10 which utilized a five-point Likert rating scale with 5- Strongly Agree, 4- Agree, 3- No Opinion, 2. Disagree, and 1- Strongly Disagree (Appendix D). The below summary analyzes the responses to each question.

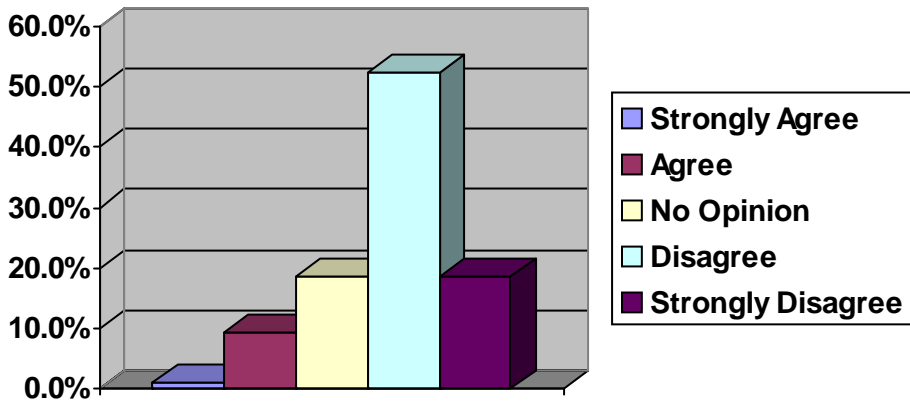
Question #1. Rehabilitation Supervisors were asked to rate if it is imperative that new supervisors master the knowledge, skills, and abilities to be a competent supervisor by participating in comprehensive training. Sixty two point one percent of respondents indicated they strongly agree comprehensive training is needed in order to become a competent supervisor with three respondents skipping the question -- is a statistically insignificant number



Question 2. Rehabilitation Supervisors were asked to rate if they believe supervisors receive timely and comprehensive training within six months of promotion. Twenty-five point three percent of respondents indicated they Strongly Agree, 31 percent indicated they disagree; and 6.9 percent indicated No Opinion. The study group believes this response may have been instrument bias due to the wording of the was worded. There were two views from the respondents in which their ranking came to be almost equally divided between Agreeing or Disagreeing. Perhaps, if the instrument had included questions regarding age differences, length of service time, gender differences, demographic information, the study group would had been able to determine the reason the supervisors responded the way they did.

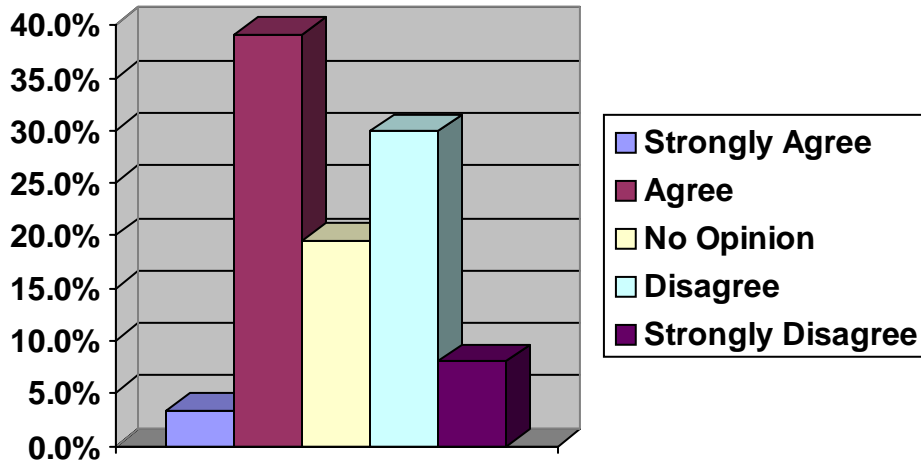


Questions 3. Rehabilitation Supervisors were asked to rate whether they believe the 409 A and B training courses adequately prepare them to be a supervisor. Forty six percent of the respondents indicated they Disagree. Only three respondents skipped the question which is statically insignificant.

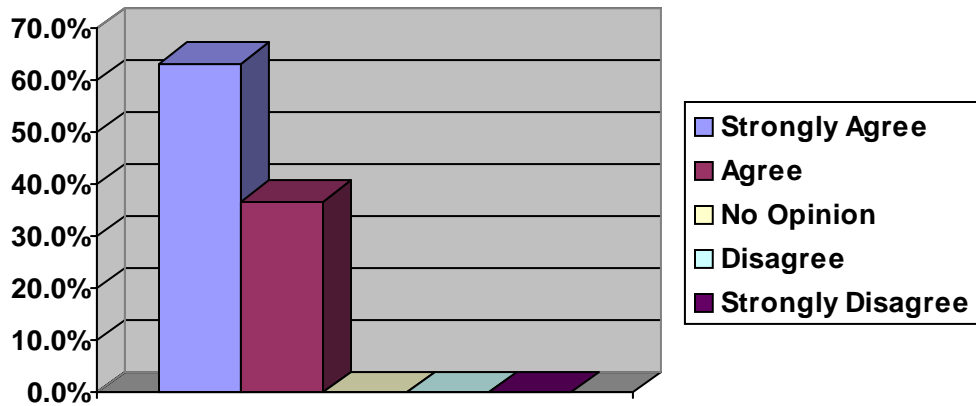


Question 4. Rehabilitation Supervisors were asked to rate if they believe the Department of Rehabilitation’s strategy for developing leaders is clear. Fifty-two point three percent of the respondents indicated they Disagree. It is important to note 18.6 percent is a high percentage of respondents with no opinion. We have no way of knowing why they answered the way they did. Questions regarding age differences, region, and

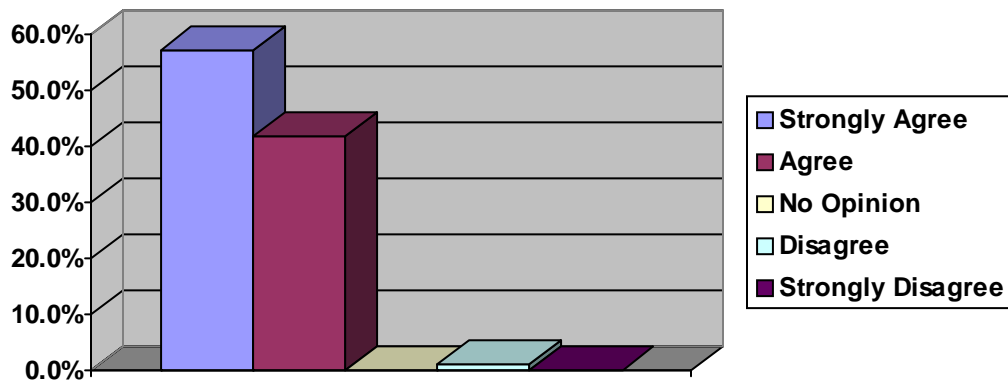
length of service time may have helped the study group compare how supervisors would had responded to this question.



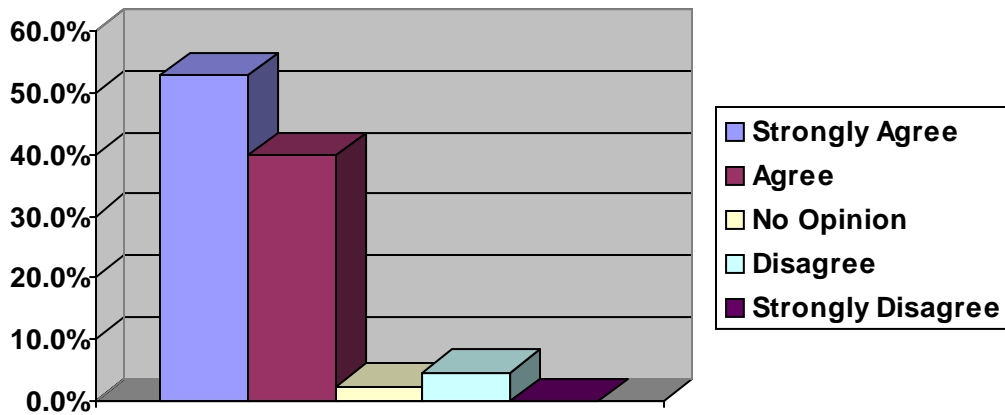
Question 5. This question asked Rehabilitation Supervisors to rate whether the Department of Rehabilitation supports employees who want to develop their leadership skills. Thirty-nine point one percent of the respondents indicated they Agree and 29.9 indicated they Disagree. This is another case in which the difference between the two views of respondents' ranking came to be closely divided. Worth noting is 19.5 responded with no opinion. This reveals the same limitations and bias of the instrument in use as explained in question number 2.



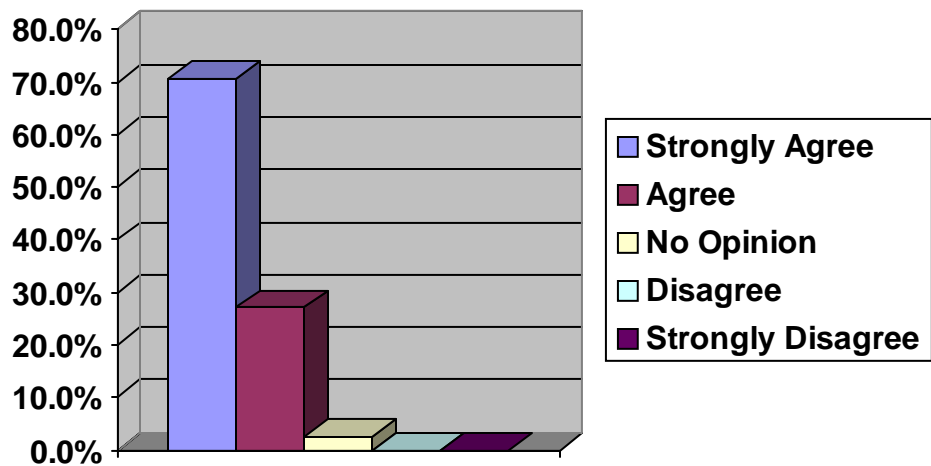
Question 6. Rehabilitation Supervisors were asked to rate if a competent supervisor helps the Senior Vocational Counselor (SVRC) understand the record of service, policies, regulations, and directives. Overwhelmingly, 63.2 percent of respondents Strongly Agree with 36.8 percent of the respondents Agreeing which equals 100 percent.



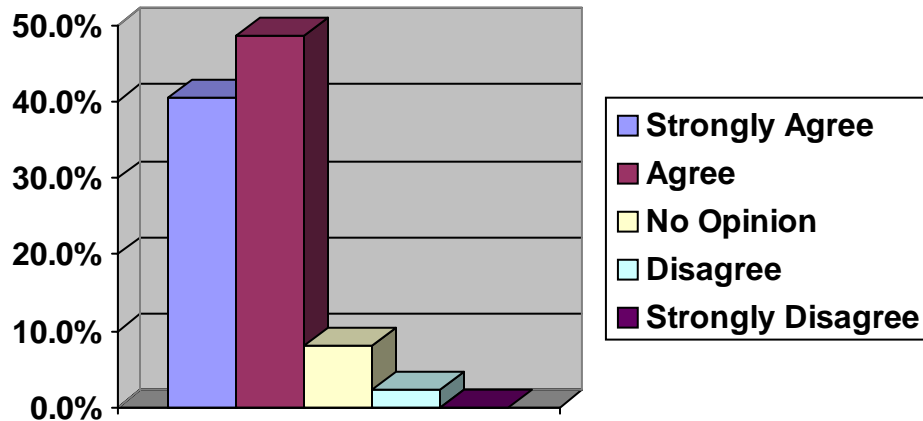
Question 7. Rehabilitation Supervisors were asked to rate whether supervisors help SVRCs find solutions to obstacles in performing job duties. Overwhelmingly, 57 percent of respondents Strongly Agree and 41.9 percent Agree which equates to 98.9 percent of the total responses in agreement.



Question 8. Rehabilitation Supervisors were asked to rate if supervisors help SVRCs develop customer service skills. Overwhelmingly, 52.9 percent of respondents indicated they Strongly Agree and 40 percent Agree which equals 92.9 percent of the total response agreeing.



Question 9. Rehabilitation Supervisors were asked to rate if supervisors help SVRCs meet the mission of the Department of Rehabilitation. Overwhelmingly, 70.5 percent of respondents indicated they Strongly Agree and 27.1 percent agree which means 97.7 percent of the respondents agree.



Question 10. Rehabilitation Supervisors were asked to rate if supervisors help SVRCs boost their job satisfaction. Forty-two point seven percent of the respondents indicated they Strongly Agree and 48.9 percent Agree which means 89.5 percent agree.

Question 11 in the Supervisor's survey (RSs) will be explained in more detail below (See Appendix H). The exact same question was asked to the Subject Matter Experts (SMEs) as question # 3 (See Appendix I). Comparison of the responses between the RSs and the SMEs will be explained below. Rehabilitation Supervisors and Subject Matter Experts were asked to rank a list of training methods from 1 to 8 by assigning 1 being the most effective method of training RSs through 8 being the least effective method of training. The results obtained for question # 11 for the RSs and # 3 for the SMEs were provided in percentages by Survey Monkey . The scores for the least

effective methods became awkward to calculate in term of percentages, therefore the study group decided to use the mean “effectiveness” value score in the calculations. The mean effectiveness scores were calculated by assigning a value of eight points for each ranking of 1st, seven points of each ranking of 2nd, and so forth, on down to giving each method one point for each ranking of 8th it received.

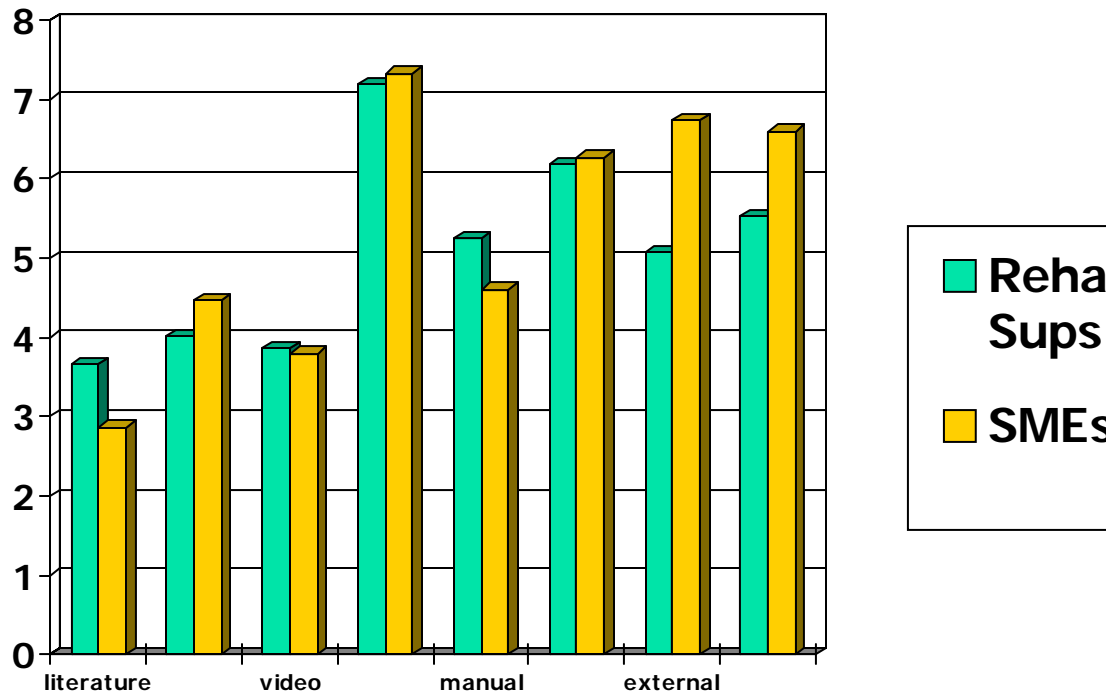
Mean scores for RSs and SMEs revealed the following:

- 1 For RSs, mentoring ranked first as the most effective method of training, with a mean value score of 7.19 . SMEs also ranked mentoring first as the most effective method of training with a mean value of 7.33. Mentoring is defined as a relationship in which a more experienced supervisor shares experiences and professional skills and utilizes a comprehensive structured mentoring approach.
- 2 RSs considered In-House Training the second most effective method with a mean value score of 6.18 . In House Training for the SMEs ranked 4th with a mean value of 6.27.
- 3 Executive Coaching for the RSs ranked as the third most effective method of training with a mean value of 5.52. Executive Coaching for the SMEs also ranked 3rd with a mean value of 6.60. Executive Coaching is defined as a collaborative and focused development, dialogue, based on disclosure, feedback and deepened curiosity, courage and commitment.
- 4 Training Manual or Guide for the RSs ranked as the fourth most effective method of training with a mean value of 5.25. Training Manual or Guide for the SMEs ranked 5th with a mean value of 4.60.
- 5 Outside Training for the RSs ranked fifth with a mean value of 5.07 . Outside

training for the SMEs ranked as the second most effective training with a mean value of 6.73.

- 6 Computer based Training for the RSs ranked 6th with a mean value of 4.01. Computer Based Training for the SMEs also ranked 6th with a mean value of 4.47.
- 7 Video and Video Clip Training for the RSs ranked 7th with a mean value of 3.86. Video and Video Clip Training for the SMEs also ranked 7th with a mean value of 3.80
- 8 Literature Other than Internal Training for the RSs ranked 8th as the least effective method of training with a mean value of 3.66 . Literature Other than Internal Training for the SMEs also ranked 8th rank with a mean value of 2.87.

The ranked importance of training methods is presented in the following figure comparing the responses of the RSs and the SMEs (The SMEs were asked this question as Question #3 –Appendix I). Note Bar labels: Computer (Bar 2), Mentoring (Bar 4), Internal Training (Bar 6), Coaching (Bar 8).



In summary, the mean scores for the rehabilitation supervisors group for question 11 above revealed the top four most effective training methods identified in the survey

were: Mentoring, In House Training, Executive Coaching and Training Manual. On the other hand, the mean scores for the Subject Matter Experts group for question 11 revealed the top four most effective training methods were: Mentoring, Outside Training, Executive Coaching and In House Training. It is important to notice both RSs & SMEs ranked mentoring as the single most effective method to the results obtained on question 11. These results have to be considered very seriously in the development of a Leadership Training Program for new emerging supervisors by the Department of Rehabilitation. It is also significant to notice the SMEs ranked higher Outside Training on the effectiveness scale of Training that was ranked by this group as the second most effective method of training as compared to the RSs group, which ranked the same training method in the fifth rank of effectiveness. The training methods that generated the four lowest mean scores for the Rehabilitation Supervisors for question 11 were: Outside Training, Computer Based Training, Video Clip Training and Literature Training. On the other hand, the four lowest mean scores for question 11 from the Subject Matter Experts group were: Training Manual, Computer Based Training, Video Clip Training and Literature. It is important to point out both groups ranked Computer Based, Video Clip and Literature Training as the three least effective methods of training (6th, 7th, 8th). Another way to look at this information is in the table below.

MEAN SCORE	SME RANKING	TRAINING PREFERENCE	RS RANKING	MEAN SCORE
7.33	1 ST	MENTORING	1 ST	7.19
		EXEC. COACHING	2 ND	6.62
6.73	2 ND	OUTSIDE TRAINING		
		IN HOUSE TRAINING	3 RD	6.18
6.60	3 RD	EXEC. COACHING		
		GUIDE	4 TH	5.25
6.27	4 TH	IN HOUSE TRAINING		
		OUTSIDE TRAINING	5 TH	5.07
4.60	5 TH	GUIDE		
4.47	6 TH	COMPUTER BASED	6 TH	4.01
3.80	7 TH	VIDEO	7 TH	3.86
2.87	8 TH	LITERATURE	8 TH	2.66

THEORETICAL RATIONALE

This study group was unable to find any formal training material or succession planning information. Hence, after comparing the 2002 PETRA study and this research study finding, the window of opportunity is narrowing rapidly. We can no longer afford to research this topic. In Reframing Organizations, Bolman and Deal (2003) suggest a Theoretical Model for Leadership that revolves around four frames (structural, political, human resources, and symbolic). In essence, “frames are windows on the world of leadership and management and you see a model of a company as seen from a process-flow perspective” (2003, pp. 11-12). The *structural frame (STR)* can be summarized as “essentially, it is a blueprint for formal expectations and expectations among internal players (executives, managers, employees) and external constituencies (such as customers and clients)”. Organizations allocate responsibilities to participants in a “Division of Labor.” They then create rules, policies, procedures, and hierarchies to coordinate diverse activities into a unified strategy (Bolman and Dean pp. 14-16). The

political frame (P) is illustrated as “Organizations are viewed as coalitions, rather than hierarchies. Coalitions are tools for exercising power, so we turn to power. We contract power with authority and discuss tensions between authorities (who try to keep things under control) and partisans (who try to influence the system to get what they want). Organizations are coalitions of diverse individuals and interest groups. Most important decisions involve allocating scarce resources --- who gets what and jockeying for position among competing stakeholders” (Bolman & Dean, p. 186). The *human resources frame (HR)* acknowledges, “Organizations need people (for their energy, effort, and talent) and people need organizations (for the many intrinsic and extrinsic rewards they offer), but their respective needs are not always well aligned” (Bolman & Dean, p. 132). The *symbolic frame (SYM)* recognizes “Organizations function like complex, constantly changing ‘organic’ pinball machines. Symbols embody and express an organization’s culture...the interwoven pattern of beliefs, values, practices, and artifacts that defines for members who they are and how they are to do things” (Bolman & Dean, 2003, p. 243). The below table highlights our findings regarding a California Corporation’s model for training supervisors versus DOR’s model for training. DOR’s model is also linked to the theoretical model described above.

CA CORPORATION	CA DOR
Employee Takes Personal Accountability	Self-Identified & Self-Directed Use IDP& Classification (HR, STR)
Employee Empowered to Make a Difference From Day One	Consumer Empowerment Based on Informed Choice related to Direct Services (P, SYM HR)
Build Leadership Capacities At Each Level of the Organization	Based on State-Mandated Requirements and Classifications & Union Guideline; Gaps Exist (P, SYM, SYM, HR)
Effective Development has Been Defined	Defined in RAM Chapter 22 and Based on Interpretation (P, STR)
Leadership Curriculum is provided for Leaders at Several Important Transitional Points In Their Careers	Based on State-Mandated 80-hrs training After Time of Appointment & Developed in Conjunction with Available Resources (P, STU, HR, SYM)
Six Areas Addressed in Corporate Development Curriculum <ul style="list-style-type: none"> a. Executive Development b. Senior Leadership c. Leadership Essentials d. Management Essentials e. Individual Leadership f. Next Generation Leadership 	Four Areas Addressed Based on Funding Priority Order <ul style="list-style-type: none"> a. Job-Required Training b. Job-Related Training c. Upward Mobility Training d. Career-Related Training (STR, SYM, HR)
Creates a Culture of Leaders	Culture is Focused on Consumers' Driven Services (STR, SYM, HR, P)
Types of Development Based on Developmental Work Experiences, Performance-Based Feedback, Coaching, Formal Learning using Classroom or E-Learning Formulated Around Corporation Values; Strategic Levels with Flexibility to Evolve and Adapt To Emerging Business Needs	Types of Development Based on State Personnel Standards and Provided in Traditional Modes (STR, P, HR, SYM) Formulated Around Mission and Goals; Based on Existing Resources and Focused on Service Delivery and Outcomes to Meet the Needs of Consumers (STR, P, HR, SYM)

RECOMMENDATIONS

RECOMMENDATION #1

Develop and implement a structured leadership-training program, which encompasses the allocation of scarce resources and additional time and energy needed to

create and develop curriculum from the feedback from the District Administrators. The

- (a) The District Administrators feel a stronger emphasize should be placed on the development of a leadership-based training program and identified 38 topics to consider (See Appendix G). By incorporating these topics, the Department can also take into consideration the preferred training methods as a measure of locating affordable and timely training.
- (b) One DOR Southern District Administrator has developed a Rehabilitation Supervisor Training Outline that helps a person define his or her leadership style, method of motivating people, communication skills, theoretical base, decision-making and problem solving, and building relationships with external environments (See Appendix B).
- (c) To replicate a Supervisory Skills Certificate Program developed by the University of California, Davis (UCD) Extension, and Continuing Education. The program has been developed to focus on the learning of practical skills, measuring performance and team development. Each program is comprised of three, one-day session that has a very specific focus (See Appendix C).

RECOMMENDATION #2

Develop and implement a formal mentoring program for new Rehabilitation Supervisors based on survey findings.

- (a) Consultation with mentoring resources listed below.
- (b) Establishment of a formal mentoring program would warrant investigation and expansion of our current mentoring leave policy to include mentoring and executive coaching opportunities within DOR. Some districts currently

utilize mentoring as a part of the IDP for employees who agree to mentor other staff members. We would need to revise our current mentoring leave policy to include mentoring and executive coaching opportunities within the realm of peer-to-peer experiences within DOR.

There are a myriad of resources outside of DOR that can provide consultation and guidance on the development of a structured formal mentoring program. Most of these organizations have information on-line and are available to consult for a fee. Two of the organizations we found were Mediapro and The Mentoring Group. The US Coastguard and the Federal Government's Office of Personnel Management also have resources on-line (See Resource list and Appendix J).

RECOMMENDATION #3

Develop and implement a concrete plan of action as described by the Department of Personnel Administration "as workforce planning" and "succession planning".

- (a) It was found many staff felt supported in their efforts to become an emerging leader but was unsure what strategies were in place to accomplish this career change. Providing clear guidelines in simplified terms would prove beneficial. Training development opportunities should be introduced at every new employee orientation. Another place this information could be included would be on the DOR intranet webpage.
- (b) According to the recent RSA state visit, this federal team is interested in learning more about recruitment of qualified staff, succession and training planning. "DOR will need more qualified Rehabilitation Professionals from diverse backgrounds to fill the vacancies as the baby boomer employees

retire. The State Liaison will discuss issue with the staff in the RSA Training Unit. In addition, DOR may want to explore developing a career ladder in order for staff members to advance internally to a VR counselor position” (Sadler, p. 9).

RECOMMENDATION #4

Investigate and identify those persons interested in promotional opportunities. RSA suggested developing a career ladder to enhance opportunities to entice diverse candidates to the SVRC/QRP classification. This recommendation also ties in strongly with the development of our succession planning. Findings may reveal the need to develop a different strategy for recruitment of this level of management and possible re-classification of these positions.

- (a) It would be beneficial to develop a workgroup to devise strategies to market career advancement opportunities. One marketing tool could be to identify our philosophy about training development on our web page under the vacancy listings for DOR.
- (b) A future PETRA study could be created to poll the current SVRC/QRP field staff about their opinions of the pros and cons of becoming a supervisor at DOR. This study group found several SMEs hinted that the additional responsibility and low pay are disincentives for promotion.

RECOMMENDATION #5

Create a culture of empowerment among employees at all levels of the organization because our focus now is to promote only “consumer empowerment” in conjunction with our mission and goal statement.

- (a) Creating a new employee culture may have an impact on improving morale because each person will be viewed as having a different form of ‘value’ to the organization. Employee empowerment goes hand-in-hand with the mentoring viewpoint of sharing experiences with new or inexperienced people by honoring staff’s talents and departmental rewards.

RECOMMENDATION #6

Investigate the “feel good side of business” from the employee training perspective (to include the field staff of SVRCs, clerical, and support staff) as a way to improve meeting our mission. We currently conduct a consumer satisfaction survey to measure our ability to meet our mission. Unfortunately, as an organization, we get wrapped up in our process-flow perspective side of business. Often times less weight are placed on reminding our employees about their daily contributions to the organization. A future graduate level class project could take on this type of project to help DOR find solutions to this employee issue by helping retain employees “in good-standing” as part of our succession planning strategies. (See recommendation 3a and 3b)

CONCLUSION

This research study led to the conclusion that a formal training program is not in place for newly hired Rehabilitation Supervisors. The challenge for DOR is to establish a workplace plan which incorporates the development of an “empowering – leadership” culture for all employees at all levels of the organization so employees are encouraged to promote because they have been given the skills to take on this important phase of their career. It is essential to the growth of our Department to develop and implement solutions by formulating a structured mentoring style training program for new Supervisors by

utilizing the ideas of the District Administrators, some prior PET-RA study recommendations, and ultimately the self-identified needs of the employees.

APPENDICES (A to J)

APPENDIX A

COURSES FOR SUPERVISORS AND MANAGERS

409A - Basic Supervision Part I **5-day course**

This program is designed to assist the new supervisor in making the transition to a first-time supervisory position.

This program, combined with #409B, will meet the requirements of Government Code Section 19995.4(b) for new supervisor training. The subjects will be approached from the standpoint of modern supervision in the State system with a consideration of team concepts.

Objectives:

- 1 Identify the role of the supervisor
- 2 Use effective communication skills
- 3 Identify appropriate performance standards and appraise employee performance
- 4 Identify the basic principles of the State disciplinary process
- 5 Identify objective behavioral criteria for developing legal and appropriate questions for selecting and interviewing candidates
- 6 List strategies and techniques for employee development
- 7 Recognize different approaches to leadership and use an effective leadership style
- 8 Use effective motivation and negotiation skills
- 9 Identify sources of conflict and recommend alternatives for resolution

409B - Basic Supervision Part II **5-day course**

This program is designed to assist the new supervisor in making the transition to a first-time supervisory position.

This program, combined with #409A, will meet the requirements of Government Code Section 19995.4(b) for new supervisor training. The subjects will be approached from the standpoint of modern supervision in the State system with a consideration of team concepts.

Objectives:

- 1 Identify key steps to problem solving and decision making
- 2 Use planning, organizing, directing, and monitoring to achieve organizational objectives
- 3 Understand collective bargaining agreements and the role of management in labor relations
- 4 Handle and resolve grievances
- 5 Apply a cooperative problem-solving approach in Labor-Management relations
- 6 Identify issues of employment law relating to persons with disabilities
- 7 Recognize and apply effective time management principles
- 8 Recognize and apply effective techniques of stress management
- 9 Understand the principle of equal employment opportunity and employment law
- 10 Prevent sexual harassment
- 11 Recognize the value of diversity in the workplace
- 12 Delegate effectively

TRAINING FOR SUPERVISORS (2 day course)

IF YOU HAVE: Supervisory responsibility. All managers, supervisors, rehabilitation supervisors, rehabilitation specialists and lead staff are encouraged to attend this course.

Course Description: This two-day course addresses interviewing and hiring processes; duty statements and performance expectations; ADA requirements; the Department's Reasonable Accommodation Policy and procedures; performance evaluation and documentation procedures.

Upon completion of this course, participants will be able to:

- 1 Define essential and marginal functions of positions they supervise
- 2 Write duty statements and performance expectations
- 3 Conduct unbiased and effective hiring interview
- 4 Follow DR's reasonable accommodation procedures
- 5 Prepare probation reports and individual development plans
- 6 Evaluate and document employee performance

MANAGING WORKPLACE COMMUNICATION (1 day course)

Intended Audience: All managers and supervisor are encouraged to attend this course.

Course Description: This course is designed to assist Managers and Supervisors in communicating their ideas and expectations clearly and concisely, in giving feedback, and resolving conflict.

Upon completion of this course, participants will be able to:

- 1 Clearly express your ideas and expectations
- 2 Identify your communication style and those of staff members
- 3 Manage and resolve conflicts
- 4 Give effective feedback
- 5 Use communication skills to create a positive and productive work environment

MANAGING DIVERSITY IN THE WORKPLACE (2 day course)

Intended Audience: All managers and supervisor are encouraged to attend this course.

Course Description: This two-day course is designed to provide information to managers that will increase their ability to communicate and work with individuals from diverse backgrounds. The workshop includes a series of experiential exercises that build awareness of culture, history, communication styles, and our personal biases. The participant manual and the workshop are designed to provide practical management and supervisory skills, which allow for the effective supervision of people of different cultures. This course focuses on recognizing our biases and understanding how they affect our perceptions, and influence the way we interact with others.

Upon completion of this course, participants will be able to:

- 1 Examine their own cultural background
- 2 Recognize how cultural differences will impact behavior, communication, and decision-making
- 3 Understand some ways to promote and maintain an effective multicultural work environment

ERGONOMICS (1 day course)

Intended Audience: All Supervisors

Course Description: The focus on this course will be on ergonomic problem solving/trouble-shooting and presentation of repetitive motion injuries in the office workplace.

Upon completion of this course, participants will be able to:

- 1 Understand the development of repetitive motion injuries in the workplace

- 2 Apply ergonomic intervention strategies to common office-related problems
- 3 Become an active resource and offer solutions to a majority of the office ergonomic problems. Develop ability to solve, monitor, and prevent office-related ergonomic problems

APPENDIX B

RS LEADERSHIP TRAINING OUTLINE DRAFT BY DA COMMITTEE

Define your Leadership Style

We could begin the training by giving all of the participants an opportunity to take 20 minutes and define their leadership style. The purpose here would be to give them the realization that they probably have a very difficult time defining what their style is. Even if they can define their style, it probably does not contain many of the elements that should be included.

We ask them to save this definition and put it away after asking a few volunteers to read what they wrote.

The Components/Elements of a “Style” of Leadership

Fundamental View of Human Nature

People are generally good and aspire or move toward excellence

People are generally evil and lazy and have to be pushed to progress

How your view affects your actions and decisions.

The Meaning of Work

What do you think work means to your staff?

What is your role as a supervisor in giving work meaning?

(Craig Dunn, Ph.D. College of Business, SDSU)

Motivating People

What do you think motivates others to excel?

Threats

Money

Upward mobility

Personal Satisfaction

Praise, etc

What can you or are you willing to do to personally do to motivate your staff

Communication Skills

How do you communicate with staff?

What role do you play when you communicate?

How accessible are you?

How do you interpret information?

Decision Making Process

Dictatorial

Partially participatory

Completely participatory

Mentoring/Coaching/Counseling

What is your role here with staff?

How do you go about it?

How long does it last?

Problem Solving Model

You find the solution and tell others

You ask them to find the solution

You ignore the problem and let it work itself out
(Fred McFarlane, Ph.D. SDSU Interwork Institute)

Relationship to External Environment

Identification of Environments

- a. Central Office
- b. One-Stops
- c. Community
- d. Employers

Response to Environments

- e. Isolation
- f. Outreach and Integration

Theoretical Base

The value of a theoretical base

Different theories

Eclectic Style – A unifying base

Redefinition of Leadership Style

Have participants redefine their style after the above information is presented

- A. Include all of the above elements or components in their definition
- B. Compare to original definition
- C. “How to” use their style in the future

APPENDIX C

UC DAVIS LEADERSHIP TRAINING PROGRAM SUMMARY

FALL SESSION

Supervisory Skill I: Principles of Supervision:

The principle of supervision program will help the supervisor understand its role as well help the supervisor develop it's own supervisory skills.

- 1 Understanding the role as a supervisor
- 2 Communicating effectively
- 3 Decision making

WINTER SESSION

Supervisory Skills II: The Performance Management

The Performance Management Program is designed to provide the supervisor with the skills to help each of his staff do the best job they can.

- 1 Talent management
- 2 Coaching and Mentoring / Developing people and getting results
- 3 Review and retool and retain employees

SPRING PROGRAM

Supervisory Skills III: Team Development

The team development program is designed to give the supervisor the tools to build a high performance team. The supervisor as the leader of the team needs to communicate effectively the team's goal.

- 1 Building high performance teams
- 2 Delegating for maximum results

3 Managing differences and resolving conflicts

APPENDIX D

PREPARATION AND TRAINING FOR SUPERVISORS WEB SURVEY

This survey investigates how the Department of Rehabilitation should formally prepare new supervisors for the skills and knowledge they need to be a Rehabilitation Supervisor. According to DOR’s succession plan, 40% of management level employees will be leaving in the next 5 to 10 years. We would like to know your opinion regarding developing affordable, efficient, and consistent training for new Rehabilitation Supervisors.

Please respond to the questions below by using the following scale:

- 1. It is imperative that new Rehabilitation Supervisors master the knowledge, skills and abilities to be a competent supervisor by participating in comprehensive training.**

5- Strongly Agree	4- Agree	3- No opinion	2- Disagree	1- Strongly Disagree

- 2. I believe that Rehabilitation Supervisors receive timely and comprehensive Rehabilitation Supervisors training within 6 months of promotion.**

5- Strongly Agree	4- Agree	3- No opinion	2- Disagree	1- Strongly Disagree

- 3. I believe that the 409 A and B Basic Supervision Training for Supervisors adequately prepared me to be a Rehabilitation Supervisor.**

5- Strongly Agree	4- Agree	3- No opinion	2- Disagree	1- Strongly Disagree

- 4. Do you believe that the Department of Rehabilitation’s strategy for developing leaders is clear?**

5- Strongly Agree	4- Agree	3- No opinion	2- Disagree	1- Strongly Disagree

- 5. Do you believe that the Department of Rehabilitation supports employees who want to develop their Leadership skills?**

5- Strongly Agree	4- Agree	3- No opinion	2- Disagree	1- Strongly Disagree

- 6. For questions 6 through 10. A competent supervisor should...**

Help Senior Vocational Rehabilitation Counselors’ (SVRCs’) understand record of service policies, regulations, and directives.

5- Strongly Agree	4- Agree	3- No opinion	2- Disagree	1- Strongly Disagree

- 7. Help SVRCs find solutions to obstacles in performing job duties.**

5- Strongly Agree	4- Agree	3- No opinion	2- Disagree	1- Strongly Disagree

APPENDIX E

MEMO & REMINDER MEMO ABOUT PETRA SURVEY

Please see the following memo regarding a PET-RA project on "Training for Supervisors." We strongly encourage you to complete this survey as it will assist us all in developing training which will be of benefit to Rehabilitation Supervisors. Your input is extremely important to ensure that any training developed incorporates those areas you all feel are necessary and important to doing your job.

To: Rehabilitation Supervisors

Through: Gary Leete, Deputy Director, North/Central
Luciana Profaca, Deputy Director, South
Employment Preparation Services Division
Anthony Candela, Deputy Director
Specialized Services Division

From: Maryann Conway, Donna Hezel, Wilfredo Ortega

Date: November 29, 2006

Subject: SURVEY ON HOW DOR SHOULD FORMALLY TRAIN
REHABILITATION SUPERVISORS

Employment Preparation Services Division management is interested in analyzing how the DOR should formally prepare Rehabilitation Supervisors for the skills and knowledge they need to be a supervisor. As participants in the San Diego State University Interwork Institute PET-RA program, we have been requested to conduct a study so that we can provide practical and fiscally sound recommendations to Department of Rehabilitation (DOR) Executive Management staff which may be of benefit to the field. Therefore, we have developed a survey for our Organizational Study Project. In addition to the survey, we will be conducting Subject Matter Expert interviews regarding training of supervisors. We will conduct confidential phone interviews of approximately 20 minutes in length with the District Administrators, a representative from Staff Development, and 2 - 3 representatives from private corporations/businesses. We are also gathering data from a variety of other resources to assist in our analysis and in order to make recommendations.

We would appreciate you completing the survey no later than Friday, December 8, 2006. Your responses are confidential. For your convenience, the survey may be completed electronically by clicking on the following link:

<http://www.surveymonkey.com/s.asp?u=414302910880>

If you should have any questions or need additional information, please do not hesitate to contact Wilfred Ortega (714) 991-0821, Maryann Conway at (714) 991-0823 or Donna Hezel at (408) 277-1361. Thank you for participating in our survey.

c.c. Kathi Mowers, Chief, Staff Development Section

APPENDIX E CONTINUED

REMINDER: Last chance to respond December 20, 2006.

Please see the following memo regarding a PET-RA project on "Training for Supervisors". We strongly encourage you to complete this survey as it will assist us all in developing training which will be of benefit to Rehabilitation Supervisors. Your input is extremely important to ensure that any training developed incorporates those areas you all feel are necessary and important to doing your job. ~ Gary Leete.

To: Rehabilitation Supervisors

Through: Gary Leete, Deputy Director, North/Central
Luciana Profaca, Deputy Director, South
Employment Preparation Services Division

Anthony Candela, Deputy Director
Specialized Services Division

From: Maryann Conway, Donna Hezel, Wilfredo Ortega

Date: December 13, 2006

Subject: SURVEY ON HOW DOR SHOULD FORMALLY TRAIN
REHABILITATION SUPERVISORS

On November 29, 2006, a survey regarding how DOR should formally train Rehabilitation Supervisors was sent out to all Rehabilitation Supervisors. The requested response date was December 8, 2006. For those (78) of you who have already responded, we appreciate and thank you for your participation.

For those of you who have **not** had the opportunity to respond, we would appreciate you doing so **no later than Wednesday, December 20, 2006**. In order to submit your feedback, please click on the link below and answer the eleven questions and click on the "next" at the bottom of each page to get to the next page. At the end click on "done" at the bottom of the page and the response automatically goes survey web site to be tallied.

<http://www.surveymonkey.com/s.asp?u=414302910880>

As participants in the San Diego State University Interwork Institute PET-RA program, we have been requested to conduct a study so that we can provide practical and fiscally sound recommendations to Department of Rehabilitation (DOR) Executive Management staff which may be of benefit to the field. Your responses are confidential.

If you should have any questions or need additional information, please do not hesitate to contact Wilfred Ortega (714) 991-0821, Maryann Conway at (714) 991-0823 or Donna Hezel at (408) 277-1361. Thank you for participating in our survey.

cc: Kathy Mowers, Chief, Staff Development Section

APPENDIX F

INTERVIEW QUESTIONS FOR SUBJECT MATTER EXPERTS

1. How do we prepare future supervisors and administrators in DOR to replace those who are retiring and/or leaving the agency?
2. Should there be specific strategies for preparing future supervisors and administrators before they are officially selected? If so, what strategies could be used to prepare potential supervisors and administrators?
3. Please rank the following 8 training methods from 1 to 8 by assigning a 1 to the most effective method of training Rehabilitation Supervisors and an 8 to the least effective method of training Rehabilitation Supervisors.

___ Literature other than internal training materials

___ Computer-based Training and discussion board

___ Videos and Video-clip Training

___ Mentoring (A relationship in which a more experienced Supervisor shares experience and professional skills toward the development and advancement of a newly hired Supervisor.)

___ Training Manual or Guide

___ In house training coordinated by DOR

___ Outside Training

___ Executive Coaching (A collaborative and focused development dialogue based on disclosure, feedback and deepened curiosity, courage and commitment.)

4. Do you have any other comments to add regarding the topic of training or preparation of leaders in an organization? Or about future strategies?

Thank you for your participation!

APPENDIX G

38 LEADERSHIP CURRICULUM TOPICS

1. Adverse Action	20. Labor Relations
2. Analytical Skills	21. Leadership-based VS Management-based Program
3. Awareness of Mission and Goals	22. Learning Style Differences
4. Best Practices & Views in Rehab.	23. Legal
5. Budgeting	24. Management Information Sys
6. Building Liaisons and Community Partners	25. Managing Large Regional Gro
7. Business Services	26. Marketing Skills
8. Central Office Functions	27. Mentoring Strategies
9. Civil Rights	28. Motivating & Inspiring & Characteristic Building of Peo
10. Communication Skills	29. Multi-cultural & Diversity Training
11. Cultivating Respect Among Employees	30. Negotiation/Conflict Managen
12. Adverse Action	31. Personnel
13. Delegation Skills	32. Political Trends
14. Employee Productivity	33. Presentation Skills including u current software and equipme
15. Establishing and Setting Rules	34. Reactive VS Proactive Approa
16. Executive Leadership Team	35. Team Building
17. Fair Hearing and Mediation	36. Think in Multiple Levels (Seei the Big Picture)
18. Finding Resources, Leverage of Community Resources	37. Understanding Barlays, RAM RSM, RSA, Federal & State Regulations
19. Hiring Practices	38. Use of Various Reports

Appendix H

Question #11 for Rehabilitation Supervisors

11. Please rank the following 8 training methods from 1 to 8 by assigning a 1 to the most effective method of training Rehabilitation Supervisors and an 8 to the least effective method of training Rehabilitation Supervisors. Mentoring is defined as a relationship in which a more experienced Supervisor shares experience and professional skills and utilizes a comprehensive, structured mentoring approach to train a newly hired Supervisor. Executive Coaching is defined as a collaborative and focused development dialogue based on disclosure, feedback and deepened curiosity, courage and commitment.

1st
2nd
3rd
4th
5th
6th
7th
8th
Respondent Total

Literature other than internal training material

3% (3)
3% (3)
12% (10)
15% (13)
16% (14)
17% (15)
17% (15)
16% (14)
86

Computer-based Training and discussion board

0% (0)
8% (7)
20% (17)
17% (15)
16% (14)
14% (12)
10% (9)
15% (12)

DEFINITION OF TERMS

SPB RULE 172 - “All candidates for, appointees to, and employees in the state civil service shall possess the general qualifications of integrity, honesty, sobriety, dependability, industry, thoroughness, accuracy, good judgment, initiative, resourcefulness, courtesy, ability to work cooperatively with others, willingness and ability to assume the responsibilities and to conform to the conditions of work characteristic of the employment, and a state of health, consistent with the ability to perform the assigned duties of the class.”

Workforce planning has been defined as “having the right number of people with the right skills, experiences, and competencies, in the right jobs at the right time.”

Succession planning mirrors workforce planning but concentrates on leadership and other critical positions. When developing succession plans, departments must identify known and potential vacancies in those key positions.

Mentoring is a relationship in which a more experienced Supervisor shares experience and professional skills toward the development and advancement of a newly hired Supervisor.

Executive Coaching is a collaborative and focused development dialogue based on disclosure, feedback and deepened curiosity, courage and commitment.

RESOURCES

- **CA Governor's Mentoring Partnership**
retrieved on 7/6/2006.

<http://www.mentoring.ca.gov/>

- **CPS Human Resources Services**
List of course descriptions retrieved on 12/29/2006.

<https://secure.cps.ca.gov/registration/sts/coursedesc.asp>

- **Department of Personnel Administration**
Manual on Development of Workforce Planning.

Additionally, there is a free downloadable article "Building the Leadership Pipeline In Local, State, and Federal Government, 2005 available on this home page.

http://www.dpa.ca.gov/general/publications/manuals/WF_planning/?b=11

- **Department of Personnel Administration**
Rules on Training retrieved on 12/29/2006.

<http://www.dpa.ca.gov/tcid/stc/policy2.shtm>

- **Department of Personnel Administration**
State of CA Supervisor's Handbook

http://www.dpa.ca.gov/general/Supervisors_Handbook.pdf

- **Department of Personnel Administration**
Personnel Policies --- Mentoring Leave

<http://www.dpa.ca.gov/jobinfo/personnelpolicies.shtm>

- **Department of Personnel Administration**
State Training Resources

<http://www.dpa.ca.gov/tcid/stc/stcmain.shtm>

- **Department of Rehabilitation**

Drive G:\Public Folder\ for use by DOR employees only

Drive G:\User Resources\ for use by DOR employees only

- 1 **Expert Magazine Website on Peer to Peer mentoring Retrieved January 30, 2007 online from http://www.expertmagazine.com/artman/publish/article_83.shtml**
- 2 **Office of Personnel Management, The Federal Government's Human Resources Agency. Retrieved August 15, 2006 online from <http://www.leadership.opm.gov/Programs/Management-and-Supervisory-Skills/CMFE/Index.aspx>**
 - **Mediapro, Inc. (2006) Why a Mentor Program? Retrieved August 15, 2007 online from mentor@mediapro.com**
 - **Mentoring Group, The, Worldwide Mentoring Services, Retrieved August 15 2007 online from info@mentoringgroup.com**
- 3 **Roosevelt University – Human Resources-Training and Development Training Library online <http://www.roosevelt.edu/hr/td/library/htm>**
- 4 **UC Davis Management Development Program Retrieved on October 3, 2006 from CA DOR Staff Development Section online http://extension.ucdavis.edu/unit/business_and_management/course/listing/?unit=BM&prgList=MDP&coursearea=Management+Development+Program**
- **US Coast Guard Mentoring Program retrieved January 30, 2007 online from <http://www.uscg.mil/hq/g-w/g-wt/g-wtl/mentoring.htm>**

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