UNIVERSITY OF VERMONT
MASTER OF PUBLIC ADMINISTRATION
CAPSTONE PORTFOLIO
SPRING 2020

Issouf Ouattara
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USE OF THIS DOCUMENT

This document was compiled in order to identify competencies set forth by NASPAA. These competencies were measured in five areas: (1) Public Governance, (2) Policy Process, (3) Analyze, Synthesize, Think Critically, Solve Problems and Make Decisions, (4) Public Service Perspective, and (5) Communicate and Interact with a Diverse and Changing Workforce and Citizenry. The evidence and rationale presented in this document are evaluated on a 1-4 scale to measure the level achieved.

APPRECIATION

I would like to take this opportunity to express my gratitude to the MPA program’s faculty and staff. Thank you for the indisputable dedication, expertise, leadership, and passion that you bring to this program, filled with rigor and humanity. I have been particularly fascinated by the amount of knowledge and wisdom you share with the students every day. I also would like to thank my dear wife, sons, friends (special thought to Mr. Adam Holmes), and extended family for their support during my graduate school career, which has been a long yet rewarding journey.
I am Issouf Ouattara. I was born in Ivory Coast (West Africa). At the age of 12, fleeing a social crisis, I moved to Burkina Faso (West Africa) where I completed, both my undergraduate and graduate degrees in business law (in French) and worked as a Legal Advisor with the Debt Collection Department in a West African regional bank. I arrived in the United States in October 2010 through the Diversity Visa Program and my family joined me in October 2016. I currently work as a Custodial Senior Supervisor at UVM.
I faced initial challenges adjusting to life in the U.S. with the weather, the language barrier and the new culture. Once in the US, I quickly realized that I had to put aside temporarily my undergraduate and graduate degrees and professional work in business law and obtain immediate employment to establish myself and my family here. Upon arrival in the US, one of my first focuses was taking English classes first through Vermont Adult Learning program and attending the Community College of Vermont to get prepared for college level courses. In the meantime, I worked as a machine operator in several different light manufacturing companies. In April 2011 I successfully applied for a job with the University of Vermont custodial services to work as a custodian, in an environment that I could start to apply some of my previous learning and experience in a job allowing advancement, and in an academic institution where I could pursue other opportunities.

Before joining the MPA program in 2017, I completed the pre-requisite coursework toward a Master’s Degree in Public Administration through the Continuing Education Department at the University of Vermont. My pursuits toward my Master of Public Administration degree and attending many UVM sponsored trainings come from my desire for excellence, both personally and professionally. The Master’s Degree in Public Administration (MPA) offers me the greatest opportunity to expand my foundational knowledge to build a new career, and I am able to continue to work while I study to support my family.

Working as a senior supervisor in a Department that has staff coming from more than twenty different nationalities and being exposed to the MPA learning competencies have sharpened my leadership skills to the point that I now describe myself as a connections-driven hands-on supervisor with creative vision, strong presentation skills, and superior judgment in making decisions that support the department’s mission by positively impacting both the organization and the individual. I experience the benefit of excellence in interpersonal communications, intercultural connections, and collaboration, with a proven track record in management, development, and training of diverse teams in order to build a successful community. I owe this to being personal growth and learning-oriented. As a rapidly promoted leader with a passionate interest in people and with a focus on diversity and inclusion and social justice, I have the ability to plan and manage details while understanding both the larger picture and providing outstanding customer service, safety, environmental stewardship, and accountability.

In sum, I believe that I have a keen understanding of what it takes to promote a healthy, diverse and inclusive workplace, now and in the future. It is based upon these fundamentals: self-awareness, understanding of others, tolerance, communication, and teamwork toward success.
Résumé

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Professional Experience

**Custodial Maintenance Senior Supervisor**, UVM, Burlington, VT: 2016-present

- Serve as a key assistant to the manager in conducting custodial management duties.
- Process work orders to ensure efficient work flow and timely response to customers.
- Plan custodial support services for events.
- Provide administrative custodial supervision and functional oversight to supervisors and staff.
- Coordinate responsibilities among team members.

**Custodial Maintenance Unit Supervisor**, UVM, Burlington, VT: Dec 2013-2016

- Achieved excellent scores for team performance and customer service
- Skillfully surmounts administrative and staffing challenges
- Established effective management of multi-cultural team in which learning from others is encouraged

**Custodial Maintenance Specialist**, UVM, Burlington, VT: Nov 2012-Dec 2013

**Custodial Maintenance Worker**, UVM, Burlington, VT: 2011-2012

**Temporary Custodian**, UVM, Burlington, VT: 2011

**Housekeeper**, Burlington Health Care and Rehabilitation Center, Burlington, VT: 2011

**Collection and Litigation Officer**, Solidarity Regional Bank, Ouagadougou, Burkina Faso: 2009-2010

- Provided detail oriented legal counsel to bank and bank clients
Delivered effective management of debt education and mitigation program and debt collection system

Law Professor, Technical Schools, Ouagadougou, Burkina Faso: 2003-2009

- Fostered a student-centered approach as professor of labor law, civil law, and business law

Manager and Supervisor, Noces de Cana Restaurant, Ouagadougou, Burkina Faso Ouagadougou: 2005

- Team oriented manager and supervisor of cooking, cleaning and wait staff

Legal Advisor Intern, Chamber of Commerce, Ouagadougou, Burkina Faso: 2004-2005

Education


Master of Business Law, University of Ouagadougou, Burkina Faso: 2004

Bachelor of Law, University of Ouagadougou, Burkina Faso: 2003

Training

UVM Supervisory Learning Series, Feb-Jul 2013

English Certificate, Vermont Adult Learning: 2010-2012

IEHA (International Executive Housekeepers Association) certification, currently working towards

Skills

Computer Skills, Proficient in Microsoft Word, Excel, and PowerPoint, and UVM’s email system. Also, adept with Kronos and FAMIS. An expert in EMS event planning software.

Professional Development, Attended many professional development trainings to build leadership skill.

Custodial Skills/Knowledge, Thorough knowledge of custodial and safety procedures, proper chemicals and green products, as well as proper floor care.

Communication Skills, A people-centric focus creates a platform for excellent verbal and written communications.

Leadership Skills, recognized by superiors for exemplary leadership, conveyance of expectations, follow up, and coaching.
AREA: 1. Public Governance

COMPETENCY CAPACITY ADDRESSED: 1a- Capacity to understand accountability and democratic theory

TITLE/LABEL OF EVIDENCE:

2. Focus group discussions with frontline supervisors at UVM’s Custodial Services Department

TYPE OF EVIDENCE

1. Course assignment for PA 301 Foundations of Public Administration
2. Internship for PA 380/Write up focus group discussions with frontline supervisors at UVM’s Custodial Services Department

EVIDENCE IS LOCATED UNDER APPENDICES: B, C.

SELF-ASSESSMENT SCORE: 4

CRITERIA YOU HAVE MET:

Is able to critique the extent to which a robust democratic accountability framework is evident in particular cases and contexts and relate accountability failures and successes to effective public policy and public administrative practice.

INSTRUCTOR ASSESSMENT SCORE:
RATIONALE STATEMENT

The MPA Competency 1a addresses the capacity to understand accountability and democratic theory. To exceed the standard for this competency, a candidate must be able to critique the extent to which a robust democratic accountability framework is evident in particular cases and contexts and relate accountability failures and successes to effective public policy and public administrative practice. I present two pieces of evidence here to show my familiarity with Competency 1a. The first, is my summative analysis “Security and safety in schools and on campuses in the United States,” completed in PA301, Fundamentals of Public Administration. The second is my report on the focus group discussions with frontline supervisors at UVM’s Custodial Services Department that I conducted as part of my Internship.

When taking PA 301 Foundations of Public Administration, I had the opportunity to reflect on and write about the topic of “Security and safety in schools and on campuses in the United States”. The assignment was broken down into three parts consisting of three summative analyses. For the purpose of the current competency, I will be only referring to the Summative Analysis #1 (See Appendix B).

In the summative analysis #1, I explored the topic by posing some questions. I researched policies relative to security and safety in schools and on campuses. I also reflected on trade-offs the administration as an entity could face between security and privacy, security and liberty. I discussed how the administration in search of security for the citizens should go about it without hurting the principle of liberty which is a constitutional core value of the United States. In the early stages of my research, I realized pertinent and intertwined subjects came to the forefront such as ethics, accountability and citizens’ participation.

I drew a link between safety on school campuses and gun control, which allowed me to point out a failure in the regulation. I posited that there was a lack of serious response by the administration in the face of all the national violence and crimes and used President Barack Obama’s interview (published on mic.com on June 11, 2014) where he discussed his frustration with the lawmakers’ inaction on gun control legislation after the tragedy of Sandy Hook as evidence. He stated that the US is “the only developed country on Earth where massive shootings occur with regularity, and that "if public opinion does not change, we're not going to change.” In a democratic society such as America’s, the issue of tackling widespread violence and crime needs the involvement and cooperation of the three branches (legislative, executive and judiciary) of the government in order to be solved or at least seriously approached. Without congressional support, Obama’s dozens of unilateral executive actions meant to
quell gun violence in the United States will not operate as a set of laws would and can easily be undone by future executive actions. Without doubt, this raises the administration’s accountability and responsibility for making a concerted effort to collaborate with legislators.

When studying agenda setting, we had the opportunity to learn that it’s one of the first key steps of the policy-making process since it is where decision makers identify which problems need action. We also learned that this important step involves various actors such as the President, elected officials, the public, media interest groups and others. Those who set the agenda are the ones that mostly influence the decision makers. One would think based on its prominence in the national media that gun control is one of the most important topics that rise to the top of the agenda because they threaten peace and healthy study and work environments on school campuses. The lack of effective policy on gun control might lead one to think the accountability of those who are involved either in the policy making process or the implementation and enforcement processes is lacking.

The other piece of evidence I am using to indicate how I addressed Competency 1a is an internship that consisted of a write up of the report of a focus group discussion that I conducted. When gathering qualitative data during my internship, I conducted a focus group discussion with some UVM Custodial Services frontline supervisors. During the discussion, the participants brought up situations where accountability played a pivotal role in their experiences within their teams (See Appendix C).

As I state in the focus discussion’s write up to the question about access to resources and support, the frontline supervisors almost unanimously responded that they have the right supplies, equipment and training. The frontline supervisors would like to see more support from the senior leadership. Senior leadership they said, needs to set the tone, enforce the work rules and make it clear to the frontline staff that being members of the union and being high performing employees are not exclusive. In other words, one can be a union employee and still be a high performing employee guided by the department’s and university’s values embodied in UVM’s Our Common Ground - integrity, commitment, accountability, respect and excellence. In addition, the fear of the Union has led management to largely ignore work rules and procedures leaving supervisors essentially powerless. As we know, a rule that is not enforced or enforceable is effectively not a rule at all.

Analyzing what I heard from the frontline supervisors, it appeared that frontline staff members seem to be aware of the senior management’s lacking support of their supervisors and therefore, staff have the courage to be lazy and disobedient knowing there likely will be no repercussions. Moreover, the fact that they are overprotected by the Union encourages lack of accountability, which can negatively impact
productivity and performance. How can work rules be implemented without the possibility of holding staff members accountable? To remedy this situation, I suggested among other recommendations the following:

- Setting the tone by redefining UVM Custodial Services Department’s organizational culture, which promotes Our Common Ground.
- Train, coach, mentor and sponsor but hold employees accountable through the implementation and the enforcement of the work rules and procedures.
- Frontline supervisors need to demystify the Union by studying, mastering and applying the terms of the United Electrical Workers of America, Local 267 (UE) contract in good faith.
- Reward the staff members who exemplify the department values and nominate them for The University President’s Our Common Ground Staff Award.

The experiences with the summative analysis and the focus group discussions shaped my Capacity to understand accountability and democratic theory. I believe that the work products that I delivered on both instances support my claim of exceeding the standard, which means being able to critique the extent of robustness of a democratic accountability framework in terms of particular cases and contexts and relate accountability failures and successes to effective public policy and public administrative practice.
AREA: 1. Public Governance

COMPETENCY CAPACITY ADDRESSED: 1b- Capacity to manage the lines of authority for public, private and non-profit collaboration.

TITLE/LABEL OF EVIDENCE:

1. Organizational Assessment Project: Organizational observation
2. Memorandum of understanding (MOU) regarding The necessity of the “undoing racism” initiative

TYPE OF EVIDENCE:

Course assignments for PA302 Organizational Theory and Behavior and PA 301 Foundations of Public Administration

EVIDENCE IS LOCATED UNDER APPENDICES: D, E.

SELF-ASSESSMENT SCORE: 3

CRITERIA YOU HAVE MET:

Can illustrate how effective collaboration between organizations of different scales and sectors plays a role in the execution of public policies.

INSTRUCTOR ASSESSMENT SCORE:
RATIONALE STATEMENT

The MPA competency 1b addresses the capacity to manage the lines of authority for public, private and non-profit collaboration. Meeting the standard of this competency as I am claiming implies that I can illustrate how effective collaboration between organizations of different scales and sectors plays a role in the execution of public policies. I intend to demonstrate that ability using two assignments that I completed, which are my organizational observation as part my organizational assessment project and my Memorandum of Understanding (MOU) assignment regarding the necessity of the “undoing racism” initiative study case.

As part of a class assignment consisting of an organizational assessment project, we were asked to produce an organizational observation write up (see Appendix D). I wrote mine on UVM’s Custodial Services Department. That exercise gave me the opportunity to reflect on something I experience as a maintenance unit supervisor in our unionized work environment. Working by the UE contract allows supervisors to perceive how effective collaboration between organizations of different scales and sectors plays a role in the execution of public policies. In this instance, the different entities in collaboration are the University of Vermont through its Department of Custodial Services and the United Electrical, Radio and Machine Workers of America, Local 267 (UE). Through the contract negotiated in good faith, “the University of Vermont recognizes the United Electrical, Radio and Machine Workers of America, Local 267 as the exclusive bargaining representative for all full-time and regular part-time nonexempt service and maintenance employees employed by the University in accordance with the Order of Certification issued by the Vermont Labor Relations Board on December 29, 1997 in docket No. 97-23” (Contract, 2017).

As we learned, the contract is not only negotiated in good faith, it is also implemented and enforced in good faith. In order to ensure that the criteria of good faith are fulfilled, once the contract is signed the University invests in training its staff members who implement the terms of the contract in order to be in compliance with labor law.

One of the major points in my organizational observation write up focused on a training of custodial frontline supervisors on the terms and complexities embedded in the current UE contract. The training was given by Dr. Peter Blackmer, the UVM Administrative Professional Senior for the Division of University Relations and Administration. I was part of a group of frontline supervisors taking the training session. The goal was to educate the custodial leadership team on the terms of the contract in order to lower contract violations and empower the leadership team.
After explaining to the audience the pertinence of the University’s approach of training the leadership team, Dr. Blackmer presented a training module on article 9 in the UE contract entitled Grievance and Arbitration Procedure. He explained what actions are “grievable”. As part of this module, he discussed UVM’s Custodial Service Common Ground values. Connie Russell, the department’s Administrative Professional Human Resources Business Manager, who assisted with the training, made a point that the department common ground values are not to be confused with a set of rules. They are not part of the contract and therefore, are not “grievable”. She added that they would be “grievable” by UE members if they were a set of rules incorporated in the contract. The training ended on the discussions about article 10 - Discipline and Discharge, which Dr. Blackmer presented as tools that management uses to improve and support performance. The analysis of my observations allowed me to point out that the initiative of the training shows how concerned the department is with increasing the knowledge and skills of its employees. As we know, training is important at many levels. For instance, it helps increase job skills and shape attitudes of employees to perform better. The UVM custodial leadership team, especially the frontline supervisors, are considered agents of management and since they are the ones directly engaging with unionized frontline staff members, it is crucial that they master and embody the contract’s terms. The contract is supposed to have been negotiated in good faith and it is important it is implemented with the same good faith as well.

As the exclusive bargaining representative, the UE advocates for its members by making sure their rights are protected and the labor law is applied in their members’ best interest. The EU contract is renewed every three years to allow the parties to adapt it to new realities. The successful relationship between the University and the UE illustrate how effective collaboration between organizations of different scales and sectors plays a role in the execution of public policies, in this case labor laws, the contract and other forms of agreements.

The other interesting case that I would like share to demonstrate this competency, the capacity to understand and manage the lines of authority for public, private and non-profit collaboration is through an assignment, which consisted of writing a MOU. The case was about racism taking place in a work environment. I was asked to analyze the case by playing the role of Cheryl Cobbs, the Executive Director by writing an MOU to the Seattle Community Association of Board of Directors to support the “undoing racism” initiative. In other words, the purpose of the memorandum was to articulate why it was necessary to put in place the “undoing racism” initiative, and why staff support was needed to implement it in order to avoid or at least minimize staff backlash. The memorandum was articulated around two major points; first, the necessity of staff in promoting the “undoing racism” initiative in Seattle Community
Association and second, the importance of staff in promoting communication, training and education as the strategy to avoid or minimize staff backlash. To demonstrate the necessity of the initiative, I highlighted the fact that the phenomenon of racism unfortunately does not leave room for employees to reach their full potential. Racism hurts the community by destroying any atmosphere of exchange and professional growth which is necessary for any successful organization. This initiative would not only show an effort to promote diversity in the workplace, but it would also create a pathway toward the empowerment of the community. As we can see, the Executive Director sought the collaboration of the Community Association Board of Directors. The strategy that the Executive Director suggested was based on establishing communication. She was also relying on training and education to address the lack of cultural competency. Training would help raise staff awareness about racism and teach them how to internalize and accept new methods of addressing and combating it. The Executive Director requested the collaboration of Community Association Board of Directors to help establish a collective two-way discussion. It seemed obvious that a full collective two-way discussion with the staff would make clearer the picture of how people’s consciousness was being influenced by racism. The support of the Board of Directors in the fight against racism was needed because within this organization like most others, the culture of the organization flows from the top. The success of the fight would undoubtedly improve the level of services to the clients and the interactions within Seattle Community Association (See Appendix E).

The combination of my work experience of almost nine years in a unionized environment with class experience and working on the “undoing racism” study case exposed me to the MPA competency 1b. Consequently, successfully performing these assignments clearly indicates my ability to illustrate how effective collaboration between organizations of different scales and sectors plays a role in the execution of public policies and to some extent the ability to illustrate the key drivers of quality inter-organizational collaboration, and/or identify conflict management systems for optimal collaboration across organizations of different sectors, and can apply them to new or existing cases.
AREA: 1. Public Governance

COMPETENCY CAPACITY ADDRESSED: 1c- Capacity to apply knowledge of system dynamics and network structures for sustainable development.

TITLE/LABEL OF EVIDENCE:
1. Reaction paper on climate change and poverty

TYPE OF EVIDENCE:
1. Course Assignment for CDAE 173 Trends in International Development
2. Course Assignment for PA311 Policy Analysis and Program Evaluation/ Final project/Logic model

EVIDENCE IS LOCATED UNDER APPENDICES: F, G

SELF-ASSESSMENT SCORE: 3

CRITERIA YOU HAVE MET:
Is able to describe a complex public administration issue, problem or context using basic system dynamics and/or network frameworks, with an eye toward achieving sustainable development objectives.

INSTRUCTOR ASSESSMENT SCORE:
RATIONALE STATEMENT

In demonstrating my capacity to apply knowledge of system dynamics and network structures for sustainable development, and my ability to describe complex public administration issues, problems or context using basic system dynamics and network frameworks, with an eye toward achieving sustainable development goals, I have chosen to use two class assignments as pieces of evidence. The first consists of a reaction paper on climate change and poverty, and the second one, a research paper on the dynamics of foreign policy in Africa, and related to US-AID programs: case of West Africa-Water Supply, Sanitation Hygiene program (WA-WASH).

Concerning the reaction paper, the debate on contemporary development is more about sustainable development. For Sachs, the world is far off from achieving sustainable development, which shows that there is a lot more to be done in order to achieve sustainable development goals. The complexity of the situation resides in the fact that there are many interrelated issues such as diseases, environmental problems, terrorism, extreme poverty, food security and others that need to be overcome in order to reach sustainable development. These problems are too complex to be solved by countries individually. Moreover, they might lead to a crisis that could threaten global stability. As such, the response to successfully address this threat can only be conceived globally. I found that the solution rests on facing the challenge of combining economic growth with social inclusion, environmental sustainability and good governance. After reflecting on climate change and poverty and ways how these issues are being addressed, I came to the point that Sachs suggests that the best comprehensive approaches to address these global issues would rest on the countries’ capacity for mitigation and adaptation (Sachs 2015, Chapter 5). The success of the approaches depends on what is done at national and international levels, which necessarily implies good governance networks (See Appendix F).

Various types of networks or a combination of various network efforts could be explored. For instance, it is through intergovernmental networks of organizations like United Nations, through its policy instruments such as the resolutions of the United Nations Conference on Human Environment that took place in Stockholm in 1972, which lay the foundation for global environment governance. It was the first United Nations conference to focus on international issues. It underlined the necessity for humanity to safeguard the Earth’s finite resources. It led to creation of the United Nations Environment Program, which committed to the promotion of sustainability and safeguarding the natural environment, as part of human rights. We also remember the Earth Summit that took place in Rio de Janeiro (1992) to reconcile worldwide economic development with protection of the environment and the 2019 New York’s High-
Level Political Forum on Sustainable Development which took place under the auspices of the General Assembly accelerating the implementation of the 2030 agenda for Sustainable Development and the 17 Sustainable Development Goals (SGDs), among which poverty and climate change are enumerated (See Appendix F). On April 22, 2016, there were 195 countries that signed an agreement within the United Nations Framework Convention on Climate Change in order to deal with greenhouse-gas-emissions mitigation, adaptation and finance. That agreement, referred to as The Paris Agreement was adopted at the COP21 and went into force on November 4, 2016. As we know, once signed, the international agreements are implemented internally through regulatory networks, grants and contract networks, partnership networks or advocacy networks. All these networks defended various policy functions depending on their missions and visions. To achieve sustainable development, networks might work on the problem’s definition by being mobilized around the causes and seriousness of the problem. After defining the problem, networks work on policy design and planning, which allow them to examine policy alternatives. Networks also mobilize for policy coordination and policy implementation (regulatory and service delivery). Then, they should organize for policy evaluation and monitoring. Finally, for sustainable results, networks should mobilize to advance the political agenda (political alignment).

Concerning the second piece of evidence related to on the dynamics of foreign policy in Africa, and related to US-AID programs: case of West Africa-Water Supply, Sanitation Hygiene program (WA-WASH), it was a research paper that I wrote for PA 311 Policy Analysis and Program Evaluation. This project gave me the opportunity to apply the logic model framework to assess the West Africa-Water Supply, Sanitation Hygiene program (WA-WASH). The logic model framework allowed me to break down (situation, inputs, outputs, short term outcomes, mid-term outcomes and long term outcomes) and map out how a system operates in order make sure that it is performing in a way that serves its purpose. In the case of the WA-WASH program, a logic model aimed at the targeted communities’ resiliency and self-sufficiency, I found it to be more beneficial to the served communities than models that helped communities directly which had the effect of dependency on aid (See Appendix G). Also, the analysis allowed me to determine that the USAID would gain by strengthening its partnership with existing water resource organizations.

Working on these assignments exposed me to Competency 1c- Capacity to apply knowledge of system dynamics and network structures for sustainable development and successfully completing them support my claim of being able to describe a complex public administration issue (poverty, climate change, water and sanitation), problem or context using basic system dynamics and/or network frameworks, with an eye toward achieving sustainable development objectives.
AREA: 2- Policy process

COMPETENCY CAPACITY ADDRESSED: 2a- Capacity to carry out effective policy implementation.

TITLE/LABEL OF EVIDENCE:

1. Core Audits effectiveness: findings, analysis and recommendations
2. Core audit / Facilities by weekly inspection at UVM Custodial Services Department

TYPE OF EVIDENCE:

1. **Internship artifact** for PA380 Internship in place at UVM Custodial Services Department/ interim assignment #2
2. **Other (explain): Audit report:** As a maintenance unit supervisor, I am expected to conduct a bi-weekly audit in order to appreciate the state of cleanliness of the campus’s space of my supervisory zone. I use a software called Smart inspect to perform the audit. I then use the data collected to generate an improvement plan.
   - Data collected
   - Improvement plan

EVIDENCE IS LOCATED UNDER APPENDICES: H, I

SELF-ASSESSMENT SCORE: 3

CRITERIA YOU HAVE MET:

Can undertake a detailed assessment of policy implementation within specific contexts.

INSTRUCTOR ASSESSMENT SCORE:
RATIONALE STATEMENT

To demonstrate my knowledge and experience in specific policy implementation activities and my ability to identify ways of improving upon past practices, I have chosen to use two different assignments related to the same topic. The first one consists of conducting audits/inspections as part of a normal duty that I execute on a regular basis as a maintenance unit supervisor in order to improve my team’s performance. The second assignment is an internship artifact produced during my internship. That assignment consisted of assessing the effectiveness of the audits as performed by the UVM Custodial Services Department’s frontline supervisors. I will present my findings, analysis and recommendations in my internship second interim assignment.

The UVM Custodial Services Department in partnership with Core Management runs inspections in the buildings using the Smart Inspection Software, which helps point out deficiencies or areas that need more work. After the audits, a recovery plan is written for the custodians in charge of the audited areas to address the issues detected. The Department’s norm is set at 90% and any score under that threshold is concerning and needs special attention immediately (See example of data collected and improvement plan write up located under Appendix I). This policy allows the Department to provide the university with a clean and safe work and study environment.

During my internship, while working on frontline supervisors’ empowerment, I conducted a focus group discussion where the front line supervisors have raised concerns about the effectiveness of the audits they regularly perform. This allowed me to look into the way the audits are conducted and how they can be improved. One of the major concerns with the implementation of the policy of the core audit was the efficient exploitation of the analysis of the data through the improvement plan. The reality is that when the data are collected, the supervisor is given a week to produce the improvement plan and have the custodians address the issues pointed out. Since the audit results can only give an actual picture of the area at the time of the audit, by the time the custodians come to address the issue, the area could be in a different state creating some discrepancies between what is written on the improvement plan and the current or actual state of the areas. This can create confusion and a state where an opportunity to correct the behavior is missed. We also realized that with the Core audits, the inspection tool used does not take into account the idiosyncrasies of each building inspected. The mismatch between the reported numbers and the reality found in the follow up negatively impacts the effectiveness of the core audits. As a recommendation to improve the impact of the audits on the state of the building, I suggested that the
department work on relaunching Core Management processes in order to address the downfall of the current inspection tool that lacks specificity toward the characteristics of buildings (See Appendix H).

In sum the exercise allowed me to apply my public administration critical thinking skills to describe UVM custodial frontline supervisors’ experiences relating to Core Audits implementation activities and to identify ways of improving upon past practices. The execution of the audits as part of my regular job tasks demonstrates my capacity to carry out effective policy implementation as stated by the MPA Competency 2a. In addition, the evaluation effort of the effectiveness of the inspections as performed by the supervisors, allowed me to ascertain how the program can be improved to better serve its purpose. This effort supports my claim of meeting the standard, which means I am capable to undertake a detailed assessment of policy implementation within specific contexts.
AREA: 2- Policy process

COMPETENCY CAPACITY ADDRESSED: 2b- Capacity to apply policy streams, cycles, and/or systems foci upon past, present and future policy issues, and to understand how problem identification impacts public administration.

TITLE/LABEL OF EVIDENCE:

1- Team-Based Policy Project on Legislative Committees/Four bills handled by the Vermont legislative Senate Committee on Education:
   H.504 - An act relating to career technical education, special education, and education weightings
   H.897 - An act relating to enhancing the effectiveness, availability, and equity of services provided to students who require additional support
   S.279 - An act relating to radon testing in schools
   S.46 - An act relating to reducing Education Fund costs for fiscal year 2018

2- Research project: Unemployment among young adults in the United States

TYPE OF EVIDENCE:

1- Course assignment for PA306 Policy Systems/ Team-based policy analysis project
2- Course assignment for PA306 Policy Streams/ Research paper base on the Workforce Innovation and Opportunity Act (WIOA) as a recommendation of policy (Power Point presentation): Application of Advocacy Coalition Framework.

EVIDENCE IS LOCATED UNDER APPENDICES: J, K

SELF-ASSESSMENT SCORE: 3

CRITERIA YOU HAVE MET:

Employs a policy streams or policy stage heuristics model approach to the describe policy making. Can demonstrate how problem definition is defined within specific policy contexts and deconstruct the relationship between problem definitions and solutions.

INSTRUCTOR ASSESSMENT SCORE:
RATIONALE STATEMENT

In demonstrating my ability to employ a policy streams or policy stage heuristics model approach to describe policy making and to show how problem definition is defined within specific policy contexts and deconstruct the relationship between problem definitions and solutions, I am presenting two pieces of evidence consisting respectively of a team-based policy analysis project that I conducted with a team mate and a research paper that I wrote addressing the Workforce Innovation and Opportunity Act (WIOA), which allowed me to explore the advocacy coalition framework as a policy analysis tool.

The team-based policy project assignment on Legislative Committees was aimed at familiarizing students with policy formulation processes in the congressional committees both at the state and the Federal levels. To that effect, my teammate Scott and I were assigned to work on the Vermont legislative Senate Committee on Education. Part of our assignment consisted of employing a policy streams or policy stage heuristics model approach to describe the policy making process. We picked the four bills handled by the Vermont legislative Senate Committee on Education to conduct our analysis. We first of all attended a Committee hearing that took place on 4/4/2018 before we interviewed Senator Ingram from the Vermont legislative Senate Committee on Education on 4/10/2018. Based on the qualitative data we gathered from attending the committee hearing and the interview, we carry out our assignment using mostly the Advocacy Coalition framework, which allowed us to test the success or failure of the bills we analyzed.

For the bill **H.504** - An act relating to career technical education, special education, and education weightings, thanks to the involvement of the stakeholders, we learned they received bipartisan support. During the interview we had with Senator Ingram, she mentioned that this is a bipartisan bill and everyone seems to be supportive of the idea of developing the workforce by giving the students the proper training that they need to get good jobs later on. The governor is supportive as well. At the time of our interview, the bill was at the House Committee on Appropriation as of 3/21/2017.

For **H.897** - An act relating to enhancing the effectiveness, availability, and equity of services provided to students who require additional support. This bill passed the House on 3/22/2018 and was on the Senate floor. It was assigned to the Senate Committee on Education. The first reading took place on 3/27/2018. After some amendments, the bill was supposed to be sent back to the House. We were told that the changes would not prevent the bill from passing. The hope was to have a conference committee
composed of three people from the House and three people from the Senate to discuss the changes and negotiate to reach a compromise.

For S.279 - An act relating to radon testing in schools: the fate of this bill depended on the action of school boards nationwide. They needed to adopt and implement school radon testing plans whereby schools would periodically test for radon, and if radon was detected, address the presence of the substance.

For S.46 - An act relating to reducing Education Fund costs for fiscal year 2018: This bill proposed to bring teachers’ health care contributions into line with those of most State and private employees in the State by requiring all new teachers’ contracts to include a provision bringing the health care premium cost share to at least 20 percent. This bill already passed, but some school districts were still behind struggling to meet the requirements. Changes were then made to propose a consolidation plan to the struggling school districts. During the committee hearing we attended, all stakeholders were encouraged to partake in the discussion to change the policy. We observed the presence of Nicole Mace, the Executive Director of the Vermont School Boards Association who acts as a representative for teachers. Senator Ingram assured us all the stakeholders were serving as witnesses with the hopes that their testimonies would affect the policy to change and accommodate every school district.

This assignment educated us on the power of the witnesses’ testimonies (over 159 testimonies or witnesses) and we experienced how the Advocacy Coalition framework concretely operates during the policy making process through the actions of school boards, witnesses of teachers and students and other stakeholders (Appendix J).

Concerning my research paper on “Unemployment among young adults in the United States”, I defined the unemployment among young adults as a significant problem that needed to the addressed. I made the point that young adult unemployment was a systemic problem that needs systemic solutions. I believed that health, race and education or training seem to play a huge part in young adults’ unemployment in the US. The question was how diverse stakeholders can collaborate to improve economic opportunities for young adults. This led me to explore a few policy alternatives to address the issue. In my search, I discovered the Workforce Innovation and Opportunity Act (WIOA), which is a comprehensive policy that the US Senate and the House of Representatives passed in the summer of 2014 and on July 22, 2014, became law. In order to assess the WIOA, I used five evaluation criteria (economic, technical, equity, administrative and political).
When assessing political feasibility, I used the advocacy coalition framework to demonstrate that the WIOA had a bright future. I highlighted the quality of the various actors composing the advocacy coalition, among which we had the US Department of Education, the US Department of Labor, the US Department of Health and Human services, the National Coalition youth advocates and the National Skills Coalition. I include a graph showing how the how Advocacy Coalition Framework operated in this instance (Appendix K). These assignments gave me the skills and knowledge to meet the MPA Competency 2 b- Capacity to apply policy streams, cycles, and/or systems foci upon past, present and future policy issues, and to understand how problem identification impacts public administration. Delivering the work products hereby mentioned as pieces of evidence supports my claim of being able to employ a policy streams or policy stage heuristics model approach to describe policy making and to show how problem definition is defined within specific policy contexts and deconstruct the relationship between problem definitions and solutions.
AREA: 2- Policy process

COMPETENCY CAPACITY ADDRESSED: 2c- Capacity to conduct policy analysis/evaluation

TITLE/LABEL OF EVIDENCE:
1- Case study on teenage driver auto accident rates
2- Research project on unemployment among young adults in the US.

TYPE OF EVIDENCE:
1- Course assignments for PA311 Policy Analysis and Program Evaluation and PA 302 Policy Systems (Presentation notes)
2- Written reflection produced for the portfolio: this was a group activity that we did while taking PA311 Policy Analysis and Program Evaluation. The assignment consisted of forming a group with three or four other students to discuss and develop answers following a set of six questions after reading and analyzing a case study on teenage driver auto accident rates. I chose to present this evidence as a written reflection piece because the group assignment was not a written one although it was a very educative assignment.

EVIDENCE IS LOCATED UNDER APPENDICES: L, K

SELF-ASSESSMENT SCORE: 3

CRITERIA YOU HAVE MET:
Can conduct an independent piece of policy analysis, successfully rendering new insights and applicable findings for policy makers.

INSTRUCTOR ASSESSMENT SCORE:
RATIONALE STATEMENT

In my effort to demonstrate my ability to conduct an independent piece of policy analysis, successfully rendering new insights and applicable findings for policy makers, I chose to present three pieces of evidence consisting of two course assignments (a case study on teenage driver auto accidents rates and a research project on young adult unemployment in the US) and a written reflection on a group activity that allowed the students to analyze a piece of policy on a case study related to teenage driver accident rates.

The teenage driver accident rates case study was given to us for a group activity in PA 311 Policy Analysis and program evaluation. The assignment consisted of a full-cycle policy analysis, from verifying and redefining the problem, through specifying evaluation criteria and alternatives, to conducting the evaluation of alternatives. Since it was a class activity, which produced a written end-product, I decided to present it as a written reflection for the portfolio.

As assigned, I conducted full-cycle policy analysis, starting with the problem identification, then the definition of the evaluation criteria and the identification of the policy alternatives. For instance, I identified the problem as the seriousness of teenage driver auto accidents in the US. Afterwards, I assessed the different policy alternatives using the evaluation criteria, which are economic, technical, equity, administrative and political (See Appendix L). This analysis allowed me to determine among the policy alternatives, the most successful one for the perspective of my supposed client. In addition, I explain that setting up short-term outcomes, intermediate and long-term outcomes prior to the implementation phase would allow me to monitor the results of the policy after it is implemented. This assignment exposed me to the process of conducting a full-cycle policy analysis, which starts with the problem identification or definition and ends with monitoring the policy implementation.

The other project to which I applied the policy evaluation criteria was concerning unemployment among young adults in the US (See Appendix K). As I did when working with the teenage driver accident case, I applied the same framework consisting of defining the problem, determining policy alternatives as potential solutions to address the problem, applying the evaluation criteria, identifying the policy alternatives and making recommendations. For the case of youth unemployment, after the evaluation process, the Workforce Innovation and Opportunity Act (WIOA) was revealed to be the best and most comprehensive policy alternative. The WIOA was the policy alternative that successfully satisfied all the five evaluation criteria (economic, technical, equity, administrative and political).
In sum, in both instances where I was given the opportunity to conduct policy analysis and evaluation, I realized that the most challenging criteria to satisfy was the political feasibility, which is the ability to get politicians’ buy-in and therefore the possibility to have the policy registered on politicians’ agendas. Satisfying the political criteria seems to be the key because as they say, “where there is a will, there is a way.” These pieces of evidence show that I have mastered the MPA Competency 2c and support my claim of being able to conduct an independent piece of policy analysis, successfully rendering new insights and applicable findings for policy makers.
AREA: 3- Analyze, synthesize, think critically, solve problems and make decisions

COMPETENCY CAPACITY ADDRESSED: 3a- Capacity to employ quantitative and qualitative research methods for program evaluation and action research.

TITLE/LABEL OF EVIDENCE:

1- Research project: Dynamics of foreign policy in Africa and related to the United States Agency for International Development (USAID) Programs: Case of West Africa – Water, Sanitation and Hygiene (WASH).
2- Earned Income Tax Credit (EITC)

TYPE OF EVIDENCE:

Course assignments for PA 311 Policy Analysis and Program Evaluation / Applying Logic Model

- Individual project
- Worksheet 1

EVIDENCE IS LOCATED UNDER APPENDICES: G, M

SELF-ASSESSMENT SCORE: 3

CRITERIA YOU HAVE MET:

Can provide a piece of original analysis of an observed phenomenon employing one qualitative or quantitative methodology effectively. Possesses capacity to commission a piece of original research. Can provide a detailed account of how a program or project evaluation should be structured within the context of a specific program or project.

INSTRUCTOR ASSESSMENT SCORE:
RATIONALE STATEMENT

In demonstrating my ability to provide a piece of original analysis of an observed phenomena employing one qualitative or quantitative methodology effectively, my capacity to commission a piece of original research, and my ability provide a detailed account of how a program or project evaluation should be structured within the context of a specific program or project, I presented two pieces of evidence. The first evidence I use to support my claim consists of a research project I conducted on the dynamics of foreign policy in Africa applied to West Africa – Water, Sanitation and Hygiene (WASH). The second piece of evidence is related to a worksheet that I wrote on the Earned Income Tax Credit (EITC).

My research papers on “Dynamics of foreign policy in Africa and related to the United States Agency for International Development (USAID) Programs: Case of West Africa – Water, Sanitation and Hygiene (WASH)” and “Earned Income Tax Credit (EITC)” offered me platforms to demonstrate my capacity to employ quantitative and qualitative research methods for program evaluation and action. For these papers, I identified and developed my topics of reflection before I did a preliminary search for information. Then, I located materials that I needed, evaluated the sources, and made notes using a brainstorming process. To conclude, I wrote the papers and cited the references.

For the WASH and EITC programs, I obtained existing qualitative and quantitative data in order to perform my analysis. In order to assess these programs, I used the logic model framework. It is a graphic depiction that represents the shared relationship among the resources, activities, outputs and impact of a specific program. After presenting the situation of the respective programs, which consists of the definition of the problem, I presented the resources as inputs and outputs (the activities and participants). I finally presented the outcomes broken down into short-term, intermediate and long-term goals.

The WASH program findings showed the successes and struggles of USAID WA-WASH program in the Niger, Ghana and Burkina Faso in consideration of the targets and outcomes agreed to in the Performance Monitoring Plan; the reasons why these targets were met or not met; suggestions as to programmatic changes that might be necessary; and identification of best practices and learning. From the data analysis, I noticed a slight gap between what the data gathered from surveys and what the focus group discussions brought to light causing explanations or excuses from the evaluation team. As we know, focus group discussions are known to be a powerful tool if they are properly designed and conducted. In a perfect setting, the focus group discussions would reveal more accurate information than the simple surveys (See Appendix G).
Concerning the Earned Income Tax Credit (EITC) also known as Earned Income Credit (EIC), I found out that even though the program is “the largest cash transfer program for lower income families at the federal level” (Nada Eissa, Hilary Hoynes, and Behavioral Responses to Taxes: Lessons from EITC and labor supply, Working Paper 11729), it is still displaying some areas of improvement. The reality makes us wonder if poverty is being fought with all this cash transferred (See Appendix M). In sum, using the logic model framework to evaluate the WASH and the EITC programs helped me assess the effectiveness of these programs in a concise and compelling way. It also helps the program staff gain a common understanding of how the programs work and their responsibilities to make them work.

These pieces of evidence based on the Logic Model as a program evaluation tool show how I am able to provide a piece of original analysis of observed phenomena employing one qualitative or quantitative methodology effectively. They also support my claim of possessing the capacity to commission a piece of original research and being able to provide a detailed account of how a program evaluation should be structured within the context of a specific program.
AREA: 3- Analyze, synthesize, think critically, solve problems and make decisions

COMPETENCY CAPACITY ADDRESSED: 3b- Capacity to initiate strategic planning and apply organizational learning & development principles.

TITLE/LABEL OF EVIDENCE:
1- Systems story: High level observations and recommendations
2- Post Internship report

TYPE OF EVIDENCE:
1- Course assignment for PA 302 Organizational Theory and Behavior
2- Internship artifact for (UVM Custodial Services) for PA 380: Conclusion of Post-internship report

EVIDENCE IS LOCATED UNDER APPENDICES: N, O

SELF-ASSESSMENT SCORE: 3

CRITERIA YOU HAVE MET:
Can demonstrate a knowledge of one or more strategic planning processes or techniques along with an explanation for how, where and why they should be used. Can conduct an analysis of an organization’s culture and can identify opportunities for development and promotion of organizational learning.

INSTRUCTOR ASSESSMENT SCORE:
RATIONALE STATEMENT

In my effort to show my ability to demonstrate a knowledge of one or more strategic planning processes or techniques along with an explanation for how, where and why they should be used, and my capacity to conduct an analysis of an organization’s culture and identify opportunity for development and promotion of organizational learning, I use two pieces of evidence. The first piece is my paper entitled “Systems story: High level observations and recommendations”, and the second piece of evidence consists of my PA375 post internship report.

For my organizational assessment project (PA302 Organizational Theory and Behavior), I analyzed the UVM Custodial Services Department. One of the points that I discussed was the workforce diversity that characterize that organization. The UVM custodial staff is composed of people from multiple cultural backgrounds, people from over twenty nationalities. According to the observations made by the customer service surveys and the conclusion of the 2017 Administrative Unit Review, the UVM custodial services workforce diversity was not fully apprehended as an asset, mostly due to the lack of full cultural competency. However, based on the anecdote of the “Wisdom of the crowds”, I was taught that workforce diversity is an asset for the simple fact that “collections of agents outperform individuals partially because people see and think about the problems differently.” (Course material of 2/14/2019 about Workforce Diversity and Cultural Competency). In the same vain, I learned that “High-performing teams are both cognitively and demographically diverse.” (Bourke and Dillon, 2018, p. 84). In my analysis, I used the concept of the continuum of cultural competency to demonstrate where I thought the UVM Custodial Services Department was located at on the continuum (See Appendix N). I found that the best way to address such an important issue was through organizational learning, which is the process of improving actions through better knowledge and understanding or the process of detecting errors and correcting them. This effort demonstrates that I have the capacity to conduct an analysis of an organization’s culture and can identify opportunities for development and promotion of organizational learning.

Also, during my internship in place, the Director of the UVM Custodial Services, informed me that he will be dedicating some importance to frontline supervisors’ empowerment in his next strategic plan and asked me to work on that theme. At the end of my internship, based on my findings and analysis, I reported that I envision frontline supervisors’ empowerment as an ongoing process that will depend on many variables, such as frontline supervisors themselves, the senior leadership team and greatly on the proper organizational culture. I advised that an organizational culture that promotes a team effort and
organizational learning environment would further empower not only frontline supervisors, but also frontline staff (See Appendix O).

On these occasions, I conducted an analysis of the UVM Custodial Services Department’s culture and identified opportunities for development and promotion of organizational learning. In addition, highlighting the lack of sufficient cultural competency in the Custodial Service Department can inspire the leaders for the next strategic plan. This effort supports my claim of mastering the MPA Competency 3b and my ability to demonstrate a knowledge of one or more strategic planning processes or techniques along with an explanation for how, where and why they should be used, on the one hand, and to conduct an analysis of an organization’s culture and can identify opportunities for development and promotion of organizational learning, on the other hand.
AREA: 3- Analyze, synthesize, think critically, solve problems and make decisions

COMPETENCY CAPACITY ADDRESSED: 3c- Capacity to apply sound performance measurement & management practices.

TITLE/LABEL OF EVIDENCE:
1- 15 Categories of Mc Kinsey Capacity Assessment Grid
2- Reflection paper # 4: Human Capital

TYPE OF EVIDENCE:
1- Course assignment for PA 302 Organizational Theory and Behavior
2- Course assignments for PA326 Community Economic Development

EVIDENCE IS LOCATED UNDER APPENDICES: P, Q

SELF-ASSESSMENT SCORE: 4

CRITERIA YOU HAVE MET:
Can provide new insights into the performance management challenges facing an organization or network, and suggest alternative design and measurement scenarios.

INSTRUCTOR ASSESSMENT SCORE:
RATIONALE STATEMENT

In demonstrating my ability to provide new insights into the performance management challenges facing an organization or network, and suggest alternative design and measurement scenarios, I refer to two pieces of evidence respectively consisting of a course assignment on fifteen categories of McKinsey Capacity Assessment Grid and a reflection paper on human capital.

For my organizational assessment project on UVM’s Custodial Services, I used the McKinsey Capacity Assessment Grid. One of the categories that I addressed was the use of performance management tools as an organizational skill. There two major performance measurement management tools that attracted my attention. They are these: the core audits/inspections and the customer service surveys. The core audits or building inspections were conducted on a bi-weekly basis and the customer surveys were conducted twice a year. The buildings’ inspections were conducted using the software Smart inspect. The analysis of the data generated helped the inspectors to highlight the deficiencies that needed to be addressed in order to improve the cleanliness of the facilities. The customer surveys allowed the department to hear from the customer, and gain an understanding of the customers’ perception of their level of satisfaction. A high level performance measurement would require a well-developed comprehensive, integrated system used for measuring the organization’s performance and progress on a continual basis, including social, financial, and organizational impacts of program and activities, and key performance indicators supervised by third-party experts. My analysis went beyond identifying these two methods of performance measurement used by UVM Custodial Services.

Beyond identifying and analyzing the methods, I made some recommendations to improve the system in place. For instance, I realized that the software used to perform building inspections does not take into account the specificities of the buildings, which generated biased data. I also pointed out that there were discrepancies between the conditions of the areas inspected at the time of the inspection and the conditions of areas at the time of the recovery. Taking this into account, the department is now requiring a recovery time of no longer than forty-eight hours after the inspections.

For the customer surveys, I realized that customers are ill-informed of Custodial Services procedures and therefore cannot comment on adherence to them in a survey. They as a whole do not know how their service compares to benchmarks. I recommended that the department improve its communication with its customers by keeping them informed and by encouraging frontline supervisors to build close professional relationships with their customers. This will certainly improve the customers’ perception of the department and educate them to the level of service they should expect to receive. These
approaches demonstrate how I provided new insights into the performance management challenges facing UVM’s Custodial Services, and suggested alternative ways to improve the measurement scenarios already in place (See Appendix P).

While taking PA326 Community Economic Development, we were assigned to write a weekly paper on each of the seven capitals; natural capital, social capital, financial capital, human capital, built capital, political capital and cultural capital. I picked the Pine Island Community Farm as a community of interest for my final project and I explored the Pine Island Community Farm each under the lens of each type of capital. On week four, I analyzed human capital.

For this exercise, I studied Chuda Dhaurali and his wife, Gita, who were piloting a goat farming program for new Americans during the 2013 season at Pine Island Farm in Colchester, Vermont. I also studied with Theogène Mahoro and Hyacinthe Ayengeneve and other community members who are neighbors and fellow farmers with Chuda Dhaurali and his family. Theogène and Hyacinthe joined the farm and specialized in chicken production since 2014. It is important to point out that the Pine Island Community Farm members relocated to the US as refugees and have an agricultural background, something they acquired growing up and learned from their fathers who were farmers. The Pine Island Farm project, the Vermont Land trust, and the Intervale Center collaborated this training of the Pine Island Community Farm’s farmers and gardeners to build their leadership skills and ensure the long-term sustainability of the farm. If we embrace the broader definition referring to human capital as the stock of knowledge and skills that a person acquires through education, training and experience and that the goal of all this capital is to increase productivity and earn higher income (Scott A. Wolla, 2013), we understand why continuous education and training is important. The purpose of the grant proposal was to request financial assistance for the goat farmer to attend a goat camp to receive training and learn from best practices from other goat farmers.

The talent and skill sets of the farmers combined with their formal education and training are the criteria used to identify or consider them as human capital. In this instance, the Vermont Land trust, in collaboration with the Intervale Center, is the organization managing the Pine Island Community Farm by working on workforce growth, streamlining workers’ onboarding, training them and ensuring their mobility in the workplace. The ultimate goal of managing human capital is to improve workforce performance and productivity and well-being. There are various types of training programs that the workforce might benefit from. These are at all levels of an organization, which helps to manage human capital (See Appendix Q).
The reflection paper on human capital and my organizational assessment assignment using the McKinsey Capacity Assessment Grid have exposed me to the MPA Competency 3c and allow me to claim my ability to successfully provide new insights into the performance management challenges facing an organization or network, and suggest alternative design and measurement scenarios.
AREA: 3- Analyze, synthesize, think critically, solve problems and make decisions

COMPETENCY CAPACITY ADDRESSED: 3d- Capacity to apply sound financial planning & fiscal responsibility.

TITLE/LABEL OF EVIDENCE:
1- Research paper on non-profit organizations: Case of HomeShare Vermont
2- Budgeting and cemetery budget
3- Assignment on purchasing

TYPE OF EVIDENCE:
Course assignments for PA 305 Public and Non-Profit Budgeting
- Final project on HomeShare Vermont
- Midterm Exam questions on budgeting and cemetery budget
- Week 6 Writing Assignment on purchasing

EVIDENCE IS LOCATED UNDER APPENDICES: R, S, T

SELF-ASSESSMENT SCORE: 3

CRITERIA YOU HAVE MET:
Can identify and analyze financial management systems, needs and emerging opportunities within a specific organization or network.

INSTRUCTOR ASSESSMENT SCORE:
RATIONALE STATEMENT

In my effort to demonstrate that I meet the standard for Competency 3d, which shows my ability to identify and analyze financial management systems, needs and emerging opportunities within a specific organization or network, I used as three pieces of evidence from PA 305 Public and Non-Profit Budgeting. The first is my final paper on HomeShare Vermont, a non-profit organization, the second is my mid-term exam highlighting budgeting and the third piece of evidence is a writing assignment on purchasing.

For my final project for PA305, I chose to work on HomeShare Vermont, a small non-profit organization with a big mission for the community, matching two or more people to share a home to their mutual benefit. As a 501(c) 3 non-profit organization, HomeShare Vermont relies on fund raising drives, the application fees and most importantly on government funds to operate. When interviewing the Executive Director, she reported that they have a dedicated Board of Directors active in activities such as fundraising; financial oversight; evaluating the CEO/executive director; planning for the future; setting organizational policy; monitoring programs and policies and others. Management is responsible for the preparation and fair presentation of the financial statements in accordance with accounting principles, which include the design, the implementation, and maintenance of internal control relevant to the preparation of accurate financial statements. HomeShare Vermont also has an external auditor, a contractor who inspects their financial statements. The auditor expresses his opinion on the financial statements based on his audits. The auditor conducts audits in accordance with auditing standards generally accepted by law. Those standards require that he plans and performs the audits to obtain reasonable assurance that the financial statements are free from material misstatement. Every audit performed also includes an evaluation of the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as and evaluation of the overall presentation of the financial statements. They present the financial position of HomeShare Vermont (See Appendix R).

Based on the information on the budgets, I realized that the organization heavily relies on government funding to operate, which presents a potential financial risk for the organization. I recommended that they diversify their source of revenues because a cut of government funds could create a cash flow crunch and force the organization to reduce its spending or jeopardize its operations. Such an event may force the organization to make unpopular actions such as eliminating staff or reducing the hours worked and/or adjusting the services offered to clients. Besides reduced services, the organization risks negative
publicity for taking such actions. That could lead to a decrease in donations and the willingness of volunteers to work with the organization. This is an example of insight that I can provide into the financial management challenges facing an organization.

For the second piece of evidence, I used my mid-term exam responses related to general budgeting and the specifics of a cemetery budget. In this assignment, I present the budget as a tool whose sole purpose was to track revenues and expenditures, in an organization. However, I argue that the budget can also be easily defined as a comprehensive system for planning, managing, and controlling the organization’s projects and programs (See Appendix S). In considering the budget as a planning tool, one could be curious and try to find out like in Sucher’s methodology of Moral Decision Making: “On what basis shall it be decided to allocate x dollars to activity A instead of activity B (V. O. Key – 1940)?” I replied that the budget builder should be a rational believer and have a sense of pure reaction (pure reactive), be budget wise, and have a fourth quality, which is be a wise budget person. What do these qualities mean? Is it possible for the same person to meet all of these requirements before being a budget builder? Budgeting is about forecasting and as I mentioned, the budget builder should be first of all a rational believer. In addition, the budget builder should be budget wise, meaning that he or she should be optimistic and be aware of politics. Since it difficult to find someone with all of the required skills, it is advised to work in groups because it is much more attainable to gather all these skills from a group than find them in a single person.

The cemetery budget question was: is it conceivable to explain to the constituencies that their cemetery will be out of service or will stay close for lack of budget? My response to this question was “no”, but this answer is not that obvious from a budgetary point of view. The constituencies won’t just allow it because a cemetery is seen as a primary necessity. During municipal campaigns, politicians promise to satisfy at the very least, the citizens’ basic needs and having a functional cemetery in the city is certainly part of the basic needs in question. Only a good argument is needed to convince the City Council to adopt city cemetery’s budget. For effective argumentation, it is important to have good networking and a good sense of compromise which take into account the cemetery expenditures and the revenues. While the cemetery will be improving the overall standard of living in the city, it will also be generating more revenues to cover the expenses (See Appendix S).

In the third piece, I highlight some aspects of non-profit organizations’ fiscal responsibility with regard to purchasing. As part of their operation, nonprofit organizations like any other organization make purchases to acquire goods and services. The budget which is of course a planning tool, allows them to
attain their goals through forecasting revenues and expenses. From my experience I know that at the end of every fiscal year, many organizations that depend on grants place big orders for equipment, furniture, or organize big parties. I previously wondered why the leaders of these organizations “wasted” those large sums of money for things that the organizations didn’t necessary need. I would have rather supported the idea of raising the employees’ salaries instead. I learned later on that each budget has line items and each item is assigned to a specific purpose. This is certainly a reality that many without knowledge in budgeting wouldn’t necessarily understand unless the leaders take time to educate them on the subject. The truth is that the organizations do not want to lose any part of their grants, which explains why they use manipulations to show the money is being used. Being fiscally responsible requires non-profit organizations to follow some guidelines. According to an article that I referred in my assignment, “charity rating organizations grade nonprofits partly on how much they spend on these expense categories.” The author used the example of CharityWatch.com to point out that it’s reasonable for most charities to spend up to 40% of their budget on operating expenses, which means that at least 60% should go to programs, and 40% should go to everything else. If a charity spends less than 40%, it gets higher grades from Charity Watch, with those spending 25% or less on operating expenses receiving the highest “A” grades. Charity Navigator, which employs a modern rating system, encourages nonprofits with lower operating expenses by giving bonus points. The ultimate goal is to have no more than 35% of a nonprofit’s budget spent on operating expenses.

One of the major takeaways after completing these assignments was the ability to perceive the financial risk that a nonprofit organization may encounter resulting in the reduction in value or loss of any of the organization's financial assets. I learned that without adequate financial resources, an organization is unable to achieve its mission and may not survive. I also learned that financial resources or assets fall into the following categories: money, goods, services, and revenues. I understood that a financial cut can have a tremendous impact on a nonprofit. The cut of funds can create a cash flow crunch and force the organization to reduce its spending. The actions may include eliminating staff or reducing the hours worked plus adjusting the services offered to clients. Besides reduced services, the organization may experience negative publicity from firing its employees. The bad press can lead to a decrease in donations and the willingness of volunteers to work with the organization. Members of the board are questioned by family, friends, associates and others. All of these factors make it imperative for every nonprofit organization to have a stable financial system in place (See Appendix T).

Successfully completing these assignments, exposed me to Competency 3d- Capacity to apply sound financial planning & fiscal responsibility and supports my claim of meeting the standard consisting of
being able to identify and analyze financial management systems, needs and emerging opportunities within a specific organization or network.
AREA: 3- Analyze, synthesize, think critically, solve problems and make decisions

COMPETENCY CAPACITY ADDRESSED: 3e- Capacity to effectively manage projects.

TITLE/LABEL OF EVIDENCE:

1- Project: Leading operations during commencement and on-call snow removal
2- UVM custodial services frontline supervisors’ empowerment

TYPE OF EVIDENCE:

1- Course assignment for PA395 Women in Leadership (PA395 week 4 journal questions)
2- Internship Final Reflection

EVIDENCE IS LOCATED UNDER APPENDICES: U, V

SELF-ASSESSMENT SCORE: 4

CRITERIA YOU HAVE MET:

Can demonstrate effective leadership and management of projects.

INSTRUCTOR ASSESSMENT SCORE:
RATIONALE STATEMENT

In order to demonstrate that I have fulfilled Competency 3e- Capacity to effectively manage projects, I have chosen two pieces of evidence. The first piece of evidence consists of a course assignment for PA 395 Women in Leadership in which I was asked present a project that I led using my leadership skills. To that effect, I presented how I led operations during UVM’s 2016 Commencement and led a snow removal project as the on-call supervisor. The second piece of evidence is the final reflection paper for my PA380 Internship. The theme of my internship project was “UVM Custodial Services Frontline Supervisor Empowerment.”

While taking *PA395 Women in Leadership*, we were asked to write an essay describing two times in our lives when we exercised leadership and to tell the specific skills or abilities demonstrated at these times. In order to answer the questions, I decided to share two events of my professional experience, where I had the opportunity to exercise effective leadership and manage projects due to my position as Maintenance Unit Supervisor.

The first event I talked about was a time when I was on call and I got called in for snow removal on the university campus. I led a team of about fifteen staff members. The second event was leading operations during the 2016 Commencement. In order to successfully conduct these projects, I put plans together before the events. The plans took into account gathering the supplies, identifying the areas to cover, designing the schedule per supervisory zone, making sure of the labor force availability, assigning job runs, monitoring, addressing issues during the events, and giving and receiving feedback after the events. As I stated in my assignment, I exercised a people-oriented type of leadership, based on trust teamwork. For skills, I used emotional and social intelligence skills to be effective and efficient in both instances for the sake of our customers. In these instances, I worked with the team members while planning the events coverage and gathered their inputs and assigned work according to the team members’ strengths. I assigned work after consulting with the other supervisors. This participatory approach helped me design the best work groups for the tasks ahead. When we reconvened after the events for the feedback, I heard critiques and suggestions from the teams and noted recommendations to improve the coverage of the next events. I found the approach empowering for all the team members. In both instances, I was also in the field motivating and working with the staff members. The fact that I was not afraid of getting my hands dirty was productive and motivated the teams. In order to empower the team members, I decided not to micromanage them, but to be available to help them address any issues. This assignment showed my capacity to effectively manage projects using a people-oriented leadership style (See Appendix U).
The other piece of evidence that I have chosen is my internship Final Reflection. The project consisted of making recommendations and suggestions on how to empower UVM custodial frontline supervisors. As I stated in my paper, this internship allowed me to address three major learning competencies; these resulted in a combination of skills, knowledge and traits that helped me to carry out my internship project, which mostly evolved around the theme of “custodial frontline supervisors’ empowerment.” I was exposed to critical thinking, analyzing, communicating and interacting with a diverse and changing workforce and citizenry, promoting teamwork, interacting, cooperating through participatory practices and problem solving. Each of these competencies allowed me to better approach the theme of frontline supervisors’ empowerment through collecting and analyzing quantitative and qualitative data and suggesting recommendations to advance frontline supervisors’ empowerment. My ability to use data such as the reports from the 2018 core audit inspections, the 2018 customer service surveys, the McKinsey assessment capacity grid surveys and most of all, the focus discussions with both high performing custodians and frontline supervisors was enlightening. I also reflected on the sources of power and designed accordingly the scripts for the focus group discussions. I pointed out that if power flows from the combination of access to resources, access to information and access to support and we admit that frontline supervisors are not empowered enough to successfully pursue the mission of the department, it is obvious that at least one of these sources is not satisfied (See Appendix V).

One of the important work outcomes during this project was the analysis of data collected. The analysis allowed me to suggest recommendations that could contribute to the frontline supervisors’ empowerment. At the end of the internship I produced a post-internship report that I submitted to the UVM Department of Custodial Services. In the report, I pointed out that the support of upper management is not sufficient to empower frontline supervisors. They also need to sell themselves as credible spokespersons on topics to gain trust from their employees and customers. In addition, they need to sell their ideas so that their audience comes away inspired, persuaded and enlightened, which is with no doubt, empowering.

In sum, conducting 2016 commencement operations, overseeing snow removal operations and working on frontline supervisors’ empowerment are a few instances where I met the standard for Competency 3e- Capacity to effectively manage projects and show effective leadership.
AREA: 4- Public Service Perspective

COMPETENCY CAPACITY ADDRESSED: 4a- Capacity to understand the value of authentic citizen participation in PA practice.

TITLE/LABEL OF EVIDENCE:

1- Express Transit Case Study (PA 301)
2- The “undoing racism” initiative in Seattle Community Association case study (PA 301)
3- Public meeting/Burlington city council meeting (PA 305)

TYPE OF EVIDENCE:

1- Course assignments for PA 301 Foundations of Public Administration
2- Course assignment for PA 305 Public and Non-Profit Budgeting Express Transit Case Study (PA 301)

EVIDENCE IS LOCATED UNDER APPENDICES: E, W, X

SELF-ASSESSMENT SCORE: 3

CRITERIA YOU HAVE MET:

Possesses the capacity to describe how citizen participation can be undertaken in an authentic way that improves the democratic accountability of an organization or network.

INSTRUCTOR ASSESSMENT SCORE:
RATIONALE STATEMENT

In the process of showing that I possess the capacity to describe how citizen participation can be undertaken in an authentic way that improves the democratic accountability of an organization or network, I referred to three course assignments serving as pieces of evidence consisting of the Express Transit study case, the “undoing racism” initiative in Seattle Community Association case study and the Burlington City Council assignment.

As we know, there are different ways in which citizens can participate in a democratic society. The most common ways are through voting and getting involved on committees or working groups as constituents to control, inform or helping in making decisions processes. For instance, in the Express Transit case, the organization was experiencing a serious crisis due to a lack of fairness and favoritism, lack of proper resource stewardship, ineffective disciplinary process and others. Some employees decided to spread the news to newspapers without letting the organization’s leadership know rather than through the organization’s communication network. The assignment consisted of acting as Clayton Barker and writing a memorandum to Franck Preston, the Transportation Services Director to present the situation and suggest recommendations to resolve the crisis. As Clayton Barker in the memo, to demonstrate accountability, and without discussing the allegations, I took full responsibility and decided to meet with my team in order to find a solution. The idea was to meet with the employees, to give them the opportunity as actors, to express themselves about the issue and make suggestions of solutions from their understanding of the issue. Hearing the employees out and taking into account their suggestions demonstrates the participation way in which Clayton Barker looked for a way out. Believing that by getting all the workforce involved in the search of solutions and by reviewing our network of communication could only strengthen employees’ participation in resolving the crisis and create a good and healthy work environment, which could only end up increasing productivity (See Appendix W).

For The “undoing racism” initiative in Seattle Community Association case study, the complexity of the phenomenon and the fact that it hurts the community by destroying any atmosphere of exchange and professional growth required an appropriate approach to address it. The best way to address the phenomenon of racism is the involvement of all the community members at the individual level as well as at the institutional level. The memorandum strongly advised that the initiative should be seen not only as an effort of diversity promotion, but also as a pathway toward our community empowerment through collaborative efforts as a community. The full collective discussion with staff and the support of the
board of directors suggests empowering community members and strengthening citizen participation promotes the democratic process (See Appendix E).

Concerning the Burlington city council meeting, the assignment consisted of attending a city council meeting and writing a report. This assignment gave me the chance to observe a form of public participation in representative democracy, as citizens are invited to provide comment and feedback to their elected representatives hoping to inform and influence the decisions of representatives. The forums gave the ability to voters and taxpayers to ask questions, make suggestions and get more involved in the decision making process mostly concerning the Burlington Memorial Auditorium. I learned that the City Council is composed of elected officers, which are fully empowered to act on most issues and are generally referred to as the municipality’s legislative body. I also learned that budgetary items are first approved by them before the adoption of the budget. In this instance, the Burlington Memorial Auditorium’s leaders presented the Memorial Auditorium case, including the poor state of the building and showed the necessity of preserving it as a symbol for the city’s sake. They presented their case in order to convince the City Council to agree on financing the cost of the restoration of the building. At the end, the Mayor reassured the audience that the Memorial Auditorium case and other issues they brought up are being addressed. (See Appendix X).

These assignments truly showed me a form of public participation in representative democracy through all the debates on the topics brought up. The meeting was open to the public. These experiences taught me how citizen participation can be undertaken in an authentic way that improves the democratic accountability of an organization or network and the merit of exposing me to the MPA Competency 4a.
AREA: 4- Public Service Perspective

COMPETENCY CAPACITY ADDRESSED: 4b- Capacity to understand the value of social & economic equity in PA practices.

TITLE/LABEL OF EVIDENCE:
1- PA 395 Discussion Board Questions Week 3
2- PA395 Leadership Case study/Interview with Kristin Winer

TYPE OF EVIDENCE:
Course assignments for PA395 Women in leadership

EVIDENCE IS LOCATED UNDER APPENDICES: Y, Z

SELF-ASSESSMENT SCORE: 3

CRITERIA YOU HAVE MET:
Possesses the capacity to describe and analyze social and economic equity/inequity within specific contexts. Can offer suggestions for ways of improving inequitable situations.

INSTRUCTOR ASSESSMENT SCORE:
RATIONALE STATEMENT

In demonstrating my ability to possess the capacity to describe and analyze social and economic equity/inequity within specific contexts and to offer suggestions for ways of improving inequitable situations, I chose to use two course assignments consisting of answers to a set of questions and a leadership case study through which I had the opportunity to conduct an interview with Kristin Winer, a former member of the University of Vermont Senior leadership team.

When I was taking *PA395 Women in leadership*, I performed two course assignments that I would like to use as pieces of evidence to demonstrate my capacity to understand the value of social and economic equity in Public Administration practices and show my ability to describe and analyze social and economic equity/inequity within specific contexts. These assignments made me explore some ways to address or improve inequitable situations at both the individual and organizational level.

The first assignment consisted of finding answers to a set of questions that introduced some relevant concepts such as the Glass Cliff Theory that when women are offered leadership positions, it is most likely because those positions are likely to lead to failure and men refuse to take them. Then, women are offered leadership positions only in riskier times. This also familiarized me with the concept of the double bind and women in leadership positions. The purpose of this exercise it to provide an opportunity for you to reflect on the readings and apply the information to your own experience. Mastering these concepts prepared me to possess the capacity to describe and analyze social and economic equity/inequity within specific contexts. The leadership case study of the second assignment was a great opportunity to explore reality illustrating these concepts (See Appendix Y).

The second assignment that I am referring to is the leader case study assignment, which consisted of choosing a successful woman leader and conducting an interview with her in order to learn from her path to leadership, her challenges and successes. For this assignment, I had the opportunity to conduct an interview with Kristin Winer. She is the HR Manager and the Director of Retail Services in the University of Vermont’s Division of Finance. She is also a lecturer at the College of Engineering and Mathematical Sciences at UVM. After the interview, I analyzed under the lens of the course materials the responses that I received and pointed out some major takeaways.

The first major takeaway on concerns about the equity/inequity question was on the stereotypes. The interview with Kristin revealed that stereotypes are still held by men toward women. It is manifested
through the double bind, which is a situation in which women in the workplace must choose between equally unsatisfactory alternatives; a punishing and inescapable dilemma. They are put in situations where they are damned if they do something or doomed if they don’t do anything. For instance, in the same situation as men, when they are successful, they are told that they are lucky, and when men are successful, they are recognized as skillful people. This is an example of inequity that many women like Kristin are experiencing in workplaces. According to women leader’s stereotypes characteristics we learned, they are known to be non-confrontational, caring, human, honest, flexible, understanding, nurturing and others while men leaders are described as well educated, skilled, competent, fearless, strong, outspoken, and decisive. In Kristin’s case, as I reported in my assignment, despite being a woman, she displays stereotypical characteristics of a male leader, which brought her to her current position of director (See Appendix Z).

The second major takeaway from the woman leader interview assignment consists of what I learned from Kristin’s success, which is a one of the best ways to address such inequitable situations. Remaining authentic appears to be one of her greatest strengths when facing stereotypes or double bind situations. For her, remaining authentic and true to oneself despite the criticisms is the remedy and the attitude that keeps her focused on the objectives and the pursuit of excellent performance. That reminds us of the US former President, Theodore Roosevelt’s quote that Brene Brown cited in one of her speeches saying; “It is not the critic who counts; not the man who points out how the strong man stumbles, or where the doer of deeds could have done them better. The credit belongs to the man who is actually in the arena, whose face is marred by dust and sweat and blood; who strives valiantly; who errs, who comes short again and again, because there is no effort without error and shortcoming; but who does actually strive to do the deeds; who knows great enthusiasms, the great devotions; who spends himself in a worthy cause; who at the best knows in the end the triumph of high achievement, and who at the worst, if he fails, at least fails while daring greatly, so that his place shall never be with those cold and timid souls who neither know victory nor defeat.” The other remedy is building self-confidence through education, acquiring skills and building a great network of connections. She firmly believes that once women are sure about their skill set, they find their own way of convincing people of their talents and approaching potential mentors becomes much easier. The key is the capacity to overcome their internal limitations and allow themselves to conquer the world instead of taking the back seat (See Appendix Z).
These assignments show that I meet the standard for the MPA Competency 4b and shaped my capacity to understand the value of social and economic equity to the point that I am able to describe and analyze social and economic equity/inequity within specific contexts and even offer suggestions for ways of improving inequitable situations. Kristin Winer’s case is certainly not an isolated one; I found it informative and educative.
AREA: 4- Public Service Perspective

COMPETENCY CAPACITY ADDRESSED: 4c- Capacity to lead in an ethical and reflective manner.

TITLE/LABEL OF EVIDENCE:

1- Personal leadership plan
2- People-oriented leadership style

TYPE OF EVIDENCE:

Course assignments for PA395 Women in leadership

- Leadership plan assignment
- PA395 week 4 journal questions: Leading operations during Commencement and on-call snow removal

EVIDENCE IS LOCATED UNDER APPENDICES: U, Aa

SELF-ASSESSMENT SCORE: 4

CRITERIA YOU HAVE MET:

Can demonstrate how she/he has led in an effective, reflective and ethical manner in a PA context.

INSTRUCTOR ASSESSMENT SCORE:
RATIONALE STATEMENT

In order to demonstrate that I have fulfilled Competency 4c- Capacity to lead in an ethical and reflective manner and have exceeded the standard, which implies my ability to demonstrate how I have led in an effective, reflective and ethical manner in a PA context, I have chosen to use two pieces of interconnected evidence. The first piece of evidence is my personal leadership plan and the second piece of evidence consists of two instances of application of my leadership plan. The Personal Leadership Plan assignment instructed us to answer a number of questions designed to help us explore our own leadership pathways, while also applying three or more theories or ideas from our readings and discussions to our own experience.

I start by showing the types of qualities, skills and abilities that characterize an inspirational and impactful leader. The action plan that I developed in this assignment can be applied to almost all levels of leadership; personal, professional and as a member of the community. It is the type that I try to embody. This action plan is designed as an ongoing process through which I keep developing and improving my leadership skills (See Appendix Aa). The second assignment shows how I put the plan in practice on different occasions. Here are the steps of my action plan and how I put it into practice:

Step 1- Engaging my motivation: this shows that I am motivated and driven to develop my leadership competencies and eager to be to become a top-rated leader. I do not shy away from challenges. I face difficult projects such us leading operations during important campus events such as UVM’s Commencement custodial task force. I dedicate my time and effort in the events planning and mastering the schedules and processing of work orders.

Step 2- Assessing my current strengths and developmental needs: at this point, I begin with an assessment of my current strengths and areas that need improvement, which implies engaging in self-reflection. I dedicate my time and effort in the events planning and mastering the schedules and processing work orders as I design the work teams. For Commencement and snow removal, I make sure that the labor force, the supplies, the event schedules and the assignments are ready.

Step 3- Displaying the core competencies leaders mostly need, which implies being smart, an active listener, emotionally intelligent, and having the right character to lead effectively. On both occasions, during Commencement’s operations and the snow shoveling, I worked with the team members while planning the events coverage and gathered their inputs and assigned work according to the team
members’ strengths. I assigned work after consulting with the other supervisors. This participatory approach helped me design the best work groups for the tasks ahead. I show to the teams that I master what I am doing and reassure them they will have my full support if need be.

Step 4- Developing cognitive and social skills: to be effective as a leader, I need to be smart. It simply means that I need to know what I am doing, and how to make the right decisions by knowing about the business and about my work team. I learned how to collect and analyze data to inform decisions and apply my social intelligence, which means being tactful in communications, and seeing things from others’ perspectives. During the operations, I avoid micro-managing the teams because I find such an approach empowering. On both instances, I assisted the teams by being in the field motivating and working with the staff members and being a “hands-on” leader (See Appendix U).

Step 5- Getting feedback: I find it important to give and receive constructive feedback. On both occasions, before the end of the shift, we reconvened for the feedback. That gives me the opportunity not only to give some feedback, but to also receive feedback and suggestions from the team members to improve the coverage of the next events.

Step 6- Continuous Improvement: As a leader, I keep working on my leadership skills through education and professional development training. I believe that developing leadership competencies is an on-going process and not a one-time event. Conducting operations during Commencement and snow events on the university campus are examples of instances where I had the opportunity to implement my leadership plan, which is based on the people-oriented style (See Appendix U).

I find this leadership action based on a people-oriented leadership style, applicable to various situations and contexts. It also helps me to lead in an ethical and reflective manner since social intelligence plays an unneglectable role in the leader’s growth. I think that these assignments allow me to meet the standard for Competency 4c- Capacity to lead in an ethical and reflective manner and this exercise supports the claim that I can demonstrate how I have led in an effective, reflective and ethical manner in a PA context.
AREA: 4- Public Service Perspective

COMPETENCY CAPACITY ADDRESSED: 4d- Capacity to achieve cooperation through participatory practices.

TITLE/LABEL OF EVIDENCE:

1- The Appalachian Mountain Club (AMC) case study
2- Internship Interim assignment #2

TYPE OF EVIDENCE:

1- Course assignment for PA 302 Organizational Theory and Behavior (Final Exam)/Question 3 on community of practice
2- Assignment for PA 380 Internship/Interim assignment #2

EVIDENCE IS LOCATED UNDER APPENDICES: H, Bb

SELF-ASSESSMENT SCORE: 4

CRITERIA YOU HAVE MET:

Can demonstrate the ability to orchestrate any of the following: coalition building, effective teamwork, and/or conflict management.

INSTRUCTOR ASSESSMENT SCORE:
RATIONALE STATEMENT

In my effort of showing that I have fulfilled Competency 4d- Capacity to achieve cooperation through participatory practices and that I can demonstrate how inclusive practices and conflict management win cooperation for forming coalitions and collaborative practices in specific cases or contexts, I use as two pieces of evidence; a study case on the Appalachian Mountain Club (AMC) and my internship assignment #2.

In the first assignment related to the Appalachian Mountain Club (AMC), I used the concept of community of practice to showcase inclusive and conflict management efforts. The concept of community of practice operates as a social learning system in which the members who are the practitioners connect to solve problems, share ideas, set standards, build tools, and develop relationships with peers and stakeholders. This necessarily means teamwork, cooperation, collaboration and open-mindedness among the practitioners composing the community of practice. Beyond being a network of connections between people, the membership in a community of practice implies a commitment to the domain, and therefore a shared competence that distinguishes members from other people. The practitioners value their collective competence and learn from each other, even though few people outside the group may value or even recognize their expertise. Like in a shared practice, the members develop a shared repertoire of resources such as experiences, stories, tools, and ways of addressing recurring problems. The areas of expertise of the practitioners can be different, but the more inclusive the community of practice, the better (See Appendix Bb).

In the AMC case study, it is important to highlight that before taking the AMC over, Andy Falender said he wanted to be a strong Executive Director that will work with a strong Council’s support. When he came on board, he hired his former board treasurer to serve as Chair of the Finance Committee. He also hired Steve Blackmer to be the Conservation Programs Director. In addition, he hired Walter Graff as the Education Director. He hired them because he trusted their professionalism and expertise. He was convinced that with them, he was forming a winning leadership team. Besides that “expert leadership team”, there were the chapters, the committees existing prior to Falender’s hiring, and the membership that was still closer to the chapters and committees. This so-called winning team composed of experts from diverse professional backgrounds led by Falender can easily be defined as a community of practice in which the common interest is the success of the AMC. This winning team composed of new-comers who come in to save the AMC was opposed to the old staff members of the chapters, committees and membership who can be seen as an opposing community of practice. However, the engagement was
effective because Falender and his team were focused on the interest of the AMC and even the organized opposition did not disturb them or prevent them in pursuing their goals. They completely ignored the organized opposition and stayed focused. To overcome the disconnection with the chapter, Falender put out a newsletter and created the Board’s regional representatives, which he used as the major channels of information about their Vision 2000 to chapter leadership. It allowed him to create “face time” between the Central office (Council or Joy Street) and the chapters. To that effect, he dispatched one of his staff from the conservation program division to a local chapter meeting. Falender’s leadership truly responded to the description of community of practice in the sense that, they were a work group of individuals “who see themselves and are seen by others as a social entity and who are embedded in one or more larger social systems.” (See Appendix Bb)

In this case, community of practice created by the leadership by Falender allowed him to build a coalition, promote inclusiveness and obtain effective teamwork that helped them manage internal conflicts, and create a successful organization.

The second assignment that I am using as a piece of evidence shows how I was able to bring the custodial staff members of all levels in the hierarchy together around the project of my internship. I conducted an interview with the Director of the Department, submitted a survey to the senior leadership team using the McKinsey Assessment Capacity Grid and conducted focus group discussions with frontline supervisors and high performing frontline staff members. The director and my manager found the theme pertinent and encouraged staff members to cooperate to the best of their ability for the success of my internship. I am grateful that the custodial staff made themselves available when I needed their input. For instance, my colleague frontline supervisors helped with the organization of the focus group discussions and with the selection of the teams, the reaching out to the participants, and the actual discussion whether by convening the participants in the room or by taking notes. I was able to build a coalition and perform an effective teamwork during the data collection phase of my internship (See Appendix H).

The answer to the third question of the AMC case study demonstrates my internship interim assignment #2 show how I have fulfilled Competency 4d- Capacity to achieve cooperation through participatory practices and my ability to orchestrate coalition building and effective teamwork.
AREA: 5-Communicate and interact with a diverse and changing workforce and citizenry

COMPETENCY CAPACITY ADDRESSED: 5a- Capacity to undertake high quality oral and written communication to convey messages to specific audiences

TITLE/LABEL OF EVIDENCE:
1- Interview with Custodial Services Department’s Director
2- Script of focus group discussions with custodial frontline high performing staff
3- Presentation to the UVM Custodial services and community

TYPE OF EVIDENCE:
1- Course assignment for PA302 Organizational Theory and Behavior: Interview with Custodial Services Department’s Director
2- Internship artifact/ Script of focus group discussions
3- Other: Presentation to the UVM Community of my life story during Staff Appreciation Week (2012) and in February 2013 to UVM Student Financial Services. For evidence, I was only able to find a few emails exchanged in order to step the stage for the presentation to Student Financial Services and a photograph of me receiving handshakes from the audience after the presentation, which took place in Waterman Memorial Lounge. This was for me, a great experience of public speaking. It helped introduce myself, as I was striving to connect with the UVM community and tell other custodial staff members coming from difference countries around the world that they are not alone trying to learn a new culture (See Appendix Dd).

EVIDENCE IS LOCATED UNDER APPENDICES: C, O, Cc, Dd

SELF-ASSESSMENT SCORE: 3
CRITERIA YOU HAVE MET:

Is capable of consistently expressing ideas verbally and in writing in a professional manner that communicates messages to intended audiences.

INSTRUCTOR ASSESSMENT SCORE:
RATIONALE STATEMENT

In demonstrating how I have been exposed to Competency 5a- Capacity to undertake high quality oral and written communication to convey messages to specific audiences through my capability of consistently expressing ideas verbally and in writing in a professional manner that communicates messages to intended audiences, I used four pieces of evidence consisting of a write up of an interview report, the script of focus group discussions with custodial frontline high performing staff, and frontline supervisors, my PA380 Internship report and a presentation to the UVM Community of my life story during the 2012 Staff Appreciation Week.

As part of my internship project (PA380), I conducted three focus group discussions; two with UVM Custodial Services frontline high performing staff and one with UVM Custodial Services frontline supervisors. At the beginning of each focus group discussion, I gave an introductory speech to explain the purpose of the focus discussions and to encourage the participants to freely engage. This is an example of messages I verbally conveyed professionally to the participants to prepare them for the discussions. The goal was to encourage them to be natural and answer naturally without any pressure. This exercise also allowed me to practice my conversation skills. On various occasions, I use my writing skills to convey messages. After my PA380 Internship, I wrote a post internship report that I shared with the UVM Custodial Department with the hope that my findings, analysis, suggestions and recommendations humbly contribute to the reflection on frontline supervisors’ empowerment (See Appendices O or C).

As a course assignment for PA 302, I was asked to conduct an interview with an organization’s leader. For the purpose of that assignment, I interviewed Mr. Gerald Coleman, the Director of UVM’s Custodial Services Department. I wrote a script before meeting with Mr. Coleman for the interview. The script consisted of a questionnaire that listed all the relevant questions that I posed to Mr. Coleman to learn more about his organization. The script allowed me to stay on track and gather the information I needed to complete the assignment. After the interview, I wrote an interview report, which I submitted as a final product for my assignment (See Appendix Cc).

In September 2012, during staff appreciation week, I was asked to present my life story from Africa to the US to the UVM Custodial Services Department Staff. For the reminder, it is important to point out that the UVM Custodial Services Department is composed of more than two hundred staff members.
from over twenty countries around the world. The purpose of such a presentation was to promote
diversity and inclusiveness. I presented my life story from Africa to the US, my experiences, challenges
and successes. The first presentation was well appreciated, and I was invited to present a second time
and a third time. Two Vice-Presidents of the University were invited, and they attended the events. The
word was spread out to the point that I was once more invited to present in front of the UVM Student
Financial Services Department in February 2013 (See Appendix Dd).

The introductory speeches for the interview with the director, the focus groups discussions and the
written reports (interview with leader, focus group discussions write up and the post internship) have
exposed me to Competency 5a. Moreover, these experiences support my claim of being capable of
consistently expressing ideas verbally and in writing in a professional manner that communicates
messages to intended audiences.
AREA: 5-Communicate and interact with a diverse and changing workforce and citizenry

COMPETENCY CAPACITY ADDRESSED: 5b- Capacity to appreciate the value of pluralism, multiculturalism & cultural diversity.

TITLE/LABEL OF EVIDENCE:
1- Organizational assessment Compilation
2- High level observation and recommendations
3- Interim assignment 2

TYPE OF EVIDENCE:
1- Course assignments for PA302 Organizational Theory and Behavior
   - Organizational assessment compilation
   - High level observation
2- Internship artifacts /Interim Assignment 2

EVIDENCE IS LOCATED UNDER APPENDICES: H, N, Ee

SELF-ASSESSMENT SCORE: 3

CRITERIA YOU HAVE MET:
Can explain how cultural awareness, cultural knowledge and cultural skills are employed, or not employed, within specific cases.

INSTRUCTOR ASSESSMENT SCORE:
RATIONALE STATEMENT

As I have explained, I work for UVM Custodial Services Department where I did an internship in place for PA380. I have been working for this department as a supervisor for almost seven years. UVM’s Custodial Services is the most diverse Department on campus with staff members from over twenty nationalities, which implies multiple cultural backgrounds. Even though that diversity within it is source of pride, it also remains challenging mostly among other things because of the language barrier. Thanks to my organizational assessment assignment and my internship, I used the Mc Kinsey Capacity Assessment Grid to shed more light on the diversity that the Department is so proud of. The analysis of the grid showed that for the diversity to be an asset instead of a burden, the Department, very aware of the language barrier challenge, has initiated a few actions or programs (See Appendix H).

To that effect, the department in partnership with Vermont Adult Learning (VAL) sponsored an ESOL (English for Speakers of Other Languages) program to support training and development for diverse Custodial Services Department staff. After about three years, to be more fiscally responsible, the department ended its contract with VAL (Vermont Adult Learning) and started a new partnership with UVM Global Gate program for English classes for frontline staff. This program helps the department comply with OSHA regulations, which by the new Globally Harmonized System, gives workers the “right to understand.” The ESOL program also gives employees basic language skills that are necessary for their personal growth and professional development. There is still some effort to be done to encourage and convince some frontline staff to attend the classes (See Appendix N).

Moreover, the Department of Custodial Services regularly sponsors on site interpreters to facilitate supervisor led Train-the-Trainer sessions as well as translation support for documents and postings regarding job procedures and safety. To increase the service level of the translators, the department just launched a pilot program to utilize a telephonic interpreting service offered by the vendor Language Line Solutions. This over-the-phone interpreting service could supplement and possibly replace many instances in which UVM Custodial and UVM HR have typically relied on local organizations such as the Association for Africans Living in Vermont and US Committee for Refugees and Immigrants to schedule in-person interpreters to facilitate meetings with Limited English Proficiency staff on topics like safety training, compliance, and labor relations. In the past, the in-person interpreting has worked fine for Custodial services, but telephonic interpreting gives the department an opportunity to maintain or lower cost, to lessen the administrative burden of interpreter scheduling. It also provides access to a greater range of languages; improving quality/reliability while enabling 24/7, on-demand interpreting.
for on-the-job interactions between UVM management and our LEP (Limited English Proficient) staff, which will benefit the third shift (See Appendix Ee).

My seven years of maintenance unit supervision in a diverse department and these assignments allowed me to appreciate how culturally competent the UVM Custodial Services Department’s leadership is. They also showed my capacity to appreciate the value of pluralism, multiculturalism and cultural diversity. That capacity helps me explain how cultural awareness, cultural knowledge and cultural skills are employed, or not employed, within specific cases. Taking such actions to empower frontline staff demonstrates the level of cultural awareness of the Department and the promotion of diversity and inclusion in the workplace.
AREA: 5- Communicate and interact with a diverse and changing workforce and citizenry

COMPETENCY CAPACITY ADDRESSED: 5c- Capacity to carry out effective human resource management.

TITLE/LABEL OF EVIDENCE:

1- Student led reading
2- Staff Performance Review
3- Recommendations to frontline supervisors

TYPE OF EVIDENCE:

1- Course assignment for PA302 Student led reading
2- Internship artifact for internship: Focus group discussions write up
3- Other (explain): Work assignment

As I maintenance Unit supervisor, I oversee a team of nine staff members and I am expected to produce on an annual basis a performance review for each employee that I supervise. As a piece of evidence, I provide a sample form instead of a real evaluation form in order the workers privacy protected.

EVIDENCE IS LOCATED UNDER APPENDICES: V, Ff, Gg

SELF-ASSESSMENT SCORE: 4

CRITERIA YOU HAVE MET:

Can point to instances in which he/she has led or initiated projects or systems designed to improve human resource management practices within a specific setting.

INSTRUCTOR ASSESSMENT SCORE:
RATIONALE STATEMENT

In demonstrating my ability to point to instances in which I led or initiated projects or systems designed to improve human resource management practices within a specific setting, I used three pieces of evidence consisting of an assignment entitled “Student led reading” on training and professional development, an internship artifact, which is a focus group discussion write up and a copy of a staff annual performance review.

For the student led reading, I studied an article entitled Management Training and Development written by Olshfski and Cutchin. The article is about the evolution and the necessity of training for executives and managers, both in the public and private sectors. For the authors, it is crucial that in an environment marked by global competition, technological and scientific advances, communication and transportation innovation, executives and managers ensure their organizations are positioned for success. To do so, senior business and government executives necessarily need to rely on education and training. How to link education to business strategy or results? How is management’s education responding to the challenges? To these questions, the authors examine six categories of management training programs and their effectiveness. They show that the training programs are designed and implemented by universities, consulting firms, or in-house training departments. Regardless of the type of training program and the locus of the educational effort, the criteria of assessment is the extent to which each training program integrates individual and organizational goals. The different programs are the following: indoctrination programs, traditional management training, trend related programs, tailored programs, tailored process. One of my best quotes in the article was: “A successful match between a management team and the provider of the development effort depends upon 1) clear identification of goal expected as a result of the training; 2) analysis to discover if the chosen goal can be accommodated by a particular program; and 3) clear thinking about how to measure results.” (Olshfski and Cutchin, 2001. P454). Reading about and exploring the different types of training and being able to share the major takeaways of a presentation have been an interesting learning and professional development experience (See Appendix Ff).

During my internship I conducted focus group discussions with UVM custodial frontline staff and frontline supervisors. As a facilitator of the discussions, my goal was to create a positive experience for the participants by asking questions that would awaken both their creative and critical sides. After analyzing the responses collected, I made recommendations concerning; operation planning, information flow, performance measurement and problem solving (mostly about staff shortages). Among the
recommendations, I suggested that the senior leadership of the department address the lack of sufficient cultural competency within the entire Department and suggested they work on promoting emotional intelligence as a management tool (See Appendix V).

Concerning the staff annual performance review, I must say that for the last seven years in my maintenance unit supervisor position, I have been asked on an annual basis to produce a performance review for each of the nine staff members that I supervise. The performance evaluation consists of filling out a form with a list of categories such as quality of work, productivity, job knowledge, customer service, judgment, willingness to learn, initiative, employee reliability, teamwork, resource stewardship, safety, cultural awareness, personal growth. Each category needs to be commented and graded by checking one of the following: outstanding, exceeds expectations, meets expectations, needs improvement, and unsatisfactory. These measurements allow me to provide each employee with an objective feedback on what went well and things that need to be improved. The rule guiding the process states there should not be any surprise in the evaluation of an employee. The remarks that appear on the performance review should have been discussed at least once with the employee. I shared a redacted fully executed form with the course instructor to demonstrate my approach to feedback and review, but to protect employee privacy only a sample blank form is provided in Appendix G as evidence.

In sum, successfully presenting the student led reading project, providing recommendations after conducting the focus group discussion, and performing these annual performance reviews over the years prove my capacity to apply sound performance measurement and management practices to support my claim of being exposed to Competency 5c - Capacity to carry out effective human resource management and particularly, being able to point to instances in which he/she has lead or initiated projects or systems designed to improve human resource management practices within a specific setting.
AREA: 5- Communicate and interact with a diverse and changing workforce and citizenry

COMPETENCY CAPACITY ADDRESSED: 5d- Capacity to use and manage information technology with internal and external audiences to achieve public administration goals.

TITLE/LABEL OF EVIDENCE:

1. Link between Information Technology and Emotional Intelligence
2. Reading response from the article of Rowena L. Briones et al, “Keeping up with the digital age: How the American Red Cross uses social media to build relationships.”

TYPE OF EVIDENCE:

1. Course Assignment for PA302 Organizational Theory and Behavior/Final Exam Question 5.
2. Course Assignment for PA323 Non-profit organizations/ Reading response (Week 9)

EVIDENCE IS LOCATED UNDER APPENDICES: Bb, Hh

SELF-ASSESSMENT SCORE: 3

CRITERIA YOU HAVE MET:

Can identify how IT impacts workplaces, organizations and public policy. Can diagnose problems associated with IT tools, procedures and uses. Can articulate how IT application is reshaping PA practice.

INSTRUCTOR ASSESSMENT SCORE:
RATIONALE STATEMENT

In order to demonstrate how I have fulfilled the Competency 5d- Capacity to use and manage information technology with internal and external audiences to achieve public administration goals, I have chosen two pieces of evidence. The first one consists of a course assignment for PA302 Organizational Theory and Behavior/Final Exam Question 5 and the second one, a course assignment for PA 323 Non-profit Organizations. Through these assignments, I show my ability to identify how IT impacts workplaces, organizations and public policy, that I can diagnose problems associated with IT tools, procedures and uses and can articulate how IT application is reshaping PA practice.

The first piece of evidence consisting of Question 5 of PA302 final exam was stated as follows: “In class, we have explored the evolving nature of information technology and its impact on work and organizations. We have also explored the nature of “emotional intelligence” (EI) and its importance for work and organizations. Explore how these two trends are relatable. How does information technology enable greater EI? Or in contrast, how does information technology thwart EI? Stake out a position and justify it using at least two readings or power point references.”

The search for the correct answer to this question required from us an understanding of how IT impacts workplaces, organizations and public policy. The search for the correct answer enabled us to diagnose at least one problem associated with IT use, which is the perception of dehumanization or alienation. The exercise also offered an opportunity to articulate how IT application is an unavoidable new trend that is reshaping PA practice.

As I mentioned in my response to the question, the concept of IT refers to the use of systems such as computers and telecommunications for storing, retrieving and sending information. For a while IT has been opposed to emotional intelligence, which refers to the capacity to identify and regulate emotions in oneself and others, hence the idea of dehumanization. The argument against that point of view is that IT professionals do not live in isolation and they do not work alone. They also need Emotional Intelligence to facilitate interactions with their colleagues, supervisors and customers. As Elis defends, “the stereotypical computer nerd glued to his computer in the darkest corner of the office needs to adapt as the IT field grows more people focused than ever before” (Elis, 2013). I personally think that either the dehumanization argument or the alienation argument would prosper only if we conceive information technology usage without exercising any emotional intelligence. Information technology is a tool at our disposal that, if used properly should contribute to make us more productive and efficient instead of alienating or dehumanizing us. The good news is the tendency nowadays toward a theory Y approach
(more people-centered) to IT integration—use of “structured open teams” for IT planning (Garson, 2001, p. 313). (See Appendix Bb)

The second piece of evidence is a reading response on an article from Rowena L. Briones et al., entitled *Keeping up with the digital age: How the American Red Cross uses social media to build relationships*. For the assignment, I highlighted how the American Red Cross, a well-known non-profit organization, built its network of relationships using social media. The other takeaway from the article consists of the opportunities and challenges attached to using social media to build relationships. I pointed out in my reading report that nowadays, it is almost impossible for an organization to ignore the fact that social media is a great tool for building a successful network of relationships. The analysis of the article allowed me to identify some key findings. For instance, I found out that the American Red Cross used social media to strengthen its network of relationships with a variety of groups such as volunteers, the community and the media. I also realize that social media’s two-way dialogue helped create a faster level of service, provided more media coverage and allowed their organization to receive feedback on their services. In addition, using social media allowed the American Red Cross to exhibit dialogic principles, communality and control mutuality. I also perceived that the barriers to using social media for the American Red Cross included employees’ buy-in, lack of time, managing content, and catering to an older generation. It is difficult for an organization such as the American Red Cross to strategically manage social media without consistent staff (See Appendix Hh). It could also be challenging for organizations to achieve commitment, which could improve organization-public relationships (Institute for public relations, 2012).

Both assignments had me reflect on how IT might influence workplaces and the challenges that go with it. I think that completing these assignments exposed me to Competency 5d- Capacity to use and manage information technology with internal and external audiences to achieve public administration goals and shaped my ability to: identify how IT impacts workplaces, organizations and public policy, diagnose problems associated with IT tools, procedures and uses and to articulate how IT application is reshaping PA practice.
SUMMATIVE ESSAY

Prior to immigrating to the United States in October 2010, I received a Master’s degree in Business Law in my home country of Burkina Faso (a French-speaking country in West Africa). My professional background in Burkina Faso included work as a legal consultant in the banking industry. Here in Vermont, I have been a member of the UVM Custodial Services Department since April 2011, originally hired as a temporary employee. I quickly advanced through the custodial ranks as a regular full time Custodial Maintenance Worker, Custodial Maintenance Specialist, and Custodial Maintenance Supervisor. In September of 2015, I was again promoted to my current position as Custodial Maintenance Senior Supervisor (Assistant to the Manager). As Senior Supervisor, I am responsible for a front line staff team of nine custodial employees and play a support role for six custodial zone supervisors. I provide functional leadership and support for the other custodial supervisors serving as a mentor and “sounding board” for personnel issues, policy compliance, supply needs, customer service concerns, and administrative functions. I also have the direct responsibility for the administrative coordination of custodial support for all events on the UVM campus. I work in close collaboration with the University Events Department to ensure that all custodial needs are met and customer satisfaction is achieved. I continuously try my best to be a thoughtful and caring member of the UVM community. I also work every day to exhibit strength in leadership and inclusivity. I take every opportunity to advance my education and professional development. I have been an active participant in UVM sponsored development programs including the Supervisor Learning Series, Blackboard Jungle, and numerous Professional Development and Training course offerings. Also, I have been an active member of the International Executive Housekeepers Association (IEHA). In my search for a domain to further my education, I found that the MPA program best suited my aspirations and my previous educational background.

In 2017, I entered the MPA program with a keen interest in improving my theoretical and practical knowledge of administration. I strongly believed that attending the courses and pursuing a Master of Public Administration would provide me with the appropriate skills to successfully navigate complicated issues of employee performance and discipline, resource management, and strategic planning for sustainability.

Taking the Capstone course and working on my portfolio and other related assignments gave me the opportunity to showcase my work in the MPA program. As I moved through the program, I felt accomplished in meeting the learning outcome goals set for me. The portfolio offered me a chance to
showcase a developmental picture of my progress over the course of the program. The capstone helped me to integrate my knowledge of management in public organizations and to demonstrate my ability to analyze, synthesize, think critically, solve problems, and make decisions. It also allowed me to demonstrate my learning and my level of mastery of the required competencies, including my ability to participate in and contribute to the policy process and communicate and interact in diverse groups and settings. I see a MPA from UVM as a wonderful next step for me in attaining my ambitions.

I have no doubt that I will use my portfolio as a resource in job applications, competitive promotions, and other career-related situations. My field of interest is human resources, especially system learning applied to workforce empowerment. I am convinced that the Master’s Degree in Public Administration (MPA) is offering me the greatest opportunity to expand my foundational knowledge. In the short-term, I hope to continue advancing into positions with increasing managerial responsibility, where I can leverage my skills, knowledge, and values for the mutual betterment of myself, the people with whom I work, and the organization. I would also like to attain SHRM (Society for Human Resources) certification. In the mid-term, I wish to be an international advisor to US and African businesses or governmental and non-governmental agencies. In the long-term, my goal is ultimately creating a NGO to serve the people of Africa who are currently unfortunately suffering due to corrupt political systems. I have no doubt that the people of Africa have the potential to succeed on their own. They simply need the proper mindset and good leadership – the kind that I might provide once I have the necessary education and experience.

In sum, I would like to express my heartfelt gratitude to the MPA family for their dedication imparting knowledge the best they can. I will always be grateful for the faculty and staff members.
## Appendix A: List of Competencies and Standard met

### MPA COMPETENCIES and the standard met colored in olive green

<table>
<thead>
<tr>
<th></th>
<th>Public Governance</th>
<th>(1) Does not meet standard</th>
<th>(2) Approaches the standard</th>
<th>(3) Meets the standard</th>
<th>(4) Exceeds the standard</th>
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</thead>
<tbody>
<tr>
<td>1a</td>
<td>Capacity to understand accountability and democratic theory.</td>
<td>Does not demonstrate an understanding of the relationship between democracy and accountability.</td>
<td>Is able to explain in simple terms why accountability is important to democratic systems.</td>
<td>Can illustrate how accountability in a democratic society persists within particular cases and contexts.</td>
<td>Is able to critique the extent to which a robust democratic accountability framework is evident in particular cases and contexts and relate accountability failures and successes to effective public policy and public administrative practice.</td>
</tr>
<tr>
<td>1b</td>
<td>Capacity to manage the lines of authority for public, private and non-profit collaboration.</td>
<td>Cannot distinguish public sector organizations from businesses or nonprofits or cannot explain the value of collaboration for orchestrating public administration across different sectors.</td>
<td>Can explain in basic terms differences in governance between sectors.</td>
<td>Can illustrate how effective collaboration between organizations of different scales and sectors plays a role in the execution of public policies.</td>
<td>Can illustrate the key drivers of interorganizational collaboration, and/or identify conflict management systems for optimal collaboration across organizations of different sectors, and can apply them to new or existing cases.</td>
</tr>
<tr>
<td>1c</td>
<td>Capacity to apply knowledge of system dynamics and network structures for sustainable development.</td>
<td>Does not understand the basic operations of systems and networks and how they relate to sustainable development goals.</td>
<td>Can provide a basic overview of what system dynamics and/or network structures are, illustrate how they are evident in particular cases and contexts, and explain how they relate to sustainable development.</td>
<td>Is able to describe a complex public administration issue, problem or context using basic system dynamics and/or network frameworks, with an eye toward achieving sustainable development objectives.</td>
<td>Can apply system dynamics and/or network frameworks to existing cases and contexts to derive sustainable solutions or feasible alternatives to pressing administrative and policy problems.</td>
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### Policy Process

<table>
<thead>
<tr>
<th></th>
<th>(1) Does not meet the standard</th>
<th>(2) Approaches the standard</th>
<th>(3) Meets the standard</th>
<th>(4) Exceeds the standard</th>
</tr>
</thead>
<tbody>
<tr>
<td>2a</td>
<td>Capacity to carry out effective policy implementation.</td>
<td>Possesses limited capacity to systematically evaluate the effectiveness of a specific policy.</td>
<td>Possesses a rudimentary understanding of policy implementation processes within specific contexts.</td>
<td>Can undertake a detailed assessment of policy implementation within specific contexts.</td>
</tr>
<tr>
<td>2b</td>
<td>Capacity to apply policy streams, cycles, and/or systems focused upon past, present and future policy issues, and to understand how problem identification impacts public administration.</td>
<td>Possesses limited capacity to utilize a policy streams and policy stage heuristics model to describe observed phenomena. Can isolate simple problems from solutions, but has difficulty separating ill structured problems from solutions.</td>
<td>Possesses some capacity to utilize a policy streams and to describe policy stage heuristics model observed phenomena. Possesses some capacity to define how problems are framed by different policy actors.</td>
<td>Employs a policy streams or policy stage heuristics model approach to the description of a problem raised in real life policy dilemmas. Can articulate how conflicts over problem definition contribute to wicked policy problems.</td>
</tr>
<tr>
<td>2c</td>
<td>Capacity to conduct policy analysis/evaluation.</td>
<td>Possesses limited capacity to systematically evaluate the effectiveness of specific policies.</td>
<td>Can demonstrate some exposure to carrying out policy analysis/evaluation, employing simple evaluation methods and approaches.</td>
<td>Can conduct an independent piece of policy analysis, successfully rendering new insights and applicable findings for policy makers.</td>
</tr>
<tr>
<td>3a</td>
<td>Capacity to employ quantitative and qualitative research methods for program evaluation and action research.</td>
<td>(1) Does not meet the standard</td>
<td>(2) Approaches the standard</td>
<td>(3) Meets the standard</td>
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<td></td>
<td>Possesses a limited capacity to employ survey, interviews or other social research methods to a focus area. Can explain why it is important to undertake program or project evaluation, but possesses limited capacity to actually carry it out.</td>
<td>Demonstrates a capacity to employ survey, interviews or other social research methods to a focus area. Can provide a rationale for undertaking program/project evaluation and explain what the possible goals and outcomes of such an evaluation might be.</td>
<td>Can provide a piece of original analysis of an observed phenomena employing one qualitative or quantitative methodology effectively. Possesses capacity to commission a piece of original research. Can provide a detailed account of how a program or project evaluation should be structured within the context of a specific program or project.</td>
<td>Demonstrates the capacity to undertake an independent research agenda by employing one or more social research methods around a topic of study of importance to public administration. This research generates new knowledge about the topical area. Can demonstrate the successful execution of a program or project evaluation or the successful utilization of a program or project evaluation to improve administrative practice.</td>
</tr>
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<tr>
<th>3b</th>
<th>Capacity to initiate strategic planning and apply organizational learning &amp; development principles.</th>
<th>(1) Does not meet the standard</th>
<th>(2) Approaches the standard</th>
<th>(3) Meets the standard</th>
<th>(4) Exceeds the standard</th>
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<tbody>
<tr>
<td></td>
<td>Possesses a limited capacity to describe how strategic planning processes work and are used as a feature of administrative practice. Is cognizant that organizational cultures exist, but cannot employ analytical tools to describe and analyze how organizational culture impacts an organization’s capacity to learn.</td>
<td>Can diagnose when a strategic planning process would be useful and begin to outline the rationale for doing so. Has been exposed to the concept of organizational learning and can explain why it is important to examine the relationship between organizational learning and developmental principles and practices.</td>
<td>Can demonstrate a knowledge of one or more strategic planning processes or techniques along with an explanation for why, where and why they should be used. Can conduct an analysis of an organization’s culture and can identify opportunity for development and promotion of organizational learning.</td>
<td>Has experience in leading or contributing to a strategic planning process at the design and implementation phases. Can demonstrate how he/she has applied organizational learning and development concepts to real situations.</td>
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<thead>
<tr>
<th>3c</th>
<th>Capacity to apply sound performance measurement &amp; management practices.</th>
<th>(1) Does not meet the standard</th>
<th>(2) Approaches the standard</th>
<th>(3) Meets the standard</th>
<th>(4) Exceeds the standard</th>
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<tbody>
<tr>
<td></td>
<td>Can provide an explanation of why performance goals and measures are important in public administration, but cannot apply this reasoning to specific contexts.</td>
<td>Can identify the performance management considerations for a particular situation or context, but has limited capacity to evaluate the effectiveness of performance management systems.</td>
<td>Can identify and analyze performance management systems, needs and emerging opportunities within a specific organization or network.</td>
<td>Can provide new insights into the performance management challenges facing an organization or network, and suggest alternative design and measurement scenarios.</td>
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<thead>
<tr>
<th>3d</th>
<th>Capacity to apply sound financial planning &amp; fiscal responsibility.</th>
<th>(1) Does not meet the standard</th>
<th>(2) Approaches the standard</th>
<th>(3) Meets the standard</th>
<th>(4) Exceeds the standard</th>
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<tr>
<td></td>
<td>Can identify why budgeting and sound fiscal management practices are important, but cannot analyze how and/or if such practices are being used within specific contexts.</td>
<td>Can identify fiscal planning and budgeting practices for a particular situation or context, but has limited capacity to evaluate the effectiveness of a financial management system.</td>
<td>Can identify and analyze financial management systems, needs and emerging opportunities within a specific organization or network.</td>
<td>Can provide new insights into the financial management challenges facing an organization or network, and suggest alternative design and budgeting scenarios.</td>
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<tr>
<th>3e</th>
<th>Capacity to effectively manage projects.</th>
<th>(1) Does not meet the standard</th>
<th>(2) Approaches the standard</th>
<th>(3) Meets the standard</th>
<th>(4) Exceeds the standard</th>
</tr>
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<tbody>
<tr>
<td></td>
<td>Can identify when a project begins and ends, but possesses very little direct knowledge for how projects are effectively managed.</td>
<td>Can identify what factors lead to effective project management in a general sense, but lacks capacity to diagnose project management challenges.</td>
<td>Can evaluate and articulate effective project management practices, applied to specific cases and contexts.</td>
<td>Can demonstrate effective leadership and management of projects.</td>
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<tr>
<td></td>
<td>Public Service Perspective</td>
<td>(1) Does not meet the standard</td>
<td>(2) Approaches the standard</td>
<td>(3) Meets the standard</td>
<td>(4) Exceeds the standard</td>
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<tr>
<td>4a</td>
<td><strong>Capacity to understand the value of authentic citizen participation in PA practice.</strong></td>
<td>Can explain why it is important for citizens to be involved in the governance of their society in a vague or abstract way, but cannot provide specific explanations or justifications applied to particular contexts.</td>
<td>Can distinguish between authentic and inauthentic citizen participation in field contexts, but cannot articulate how participation can either become more authentic or be sustained in an authentic way.</td>
<td>Possesses the capacity to describe how citizen participation can be undertaken in an authentic way that improves the democratic accountability of an organization or network.</td>
<td>Can demonstrate how she/he has played a role in facilitating citizen participation in public administration.</td>
</tr>
<tr>
<td>4b</td>
<td><strong>Capacity to understand the value of social &amp; economic equity in PA practices.</strong></td>
<td>Can explain why it is important for social and economic equity to flourish in a vague or abstract way, but cannot provide specific explanations or justifications applied to particular contexts.</td>
<td>Can explain why social and economic equity is important to PA and can identify how social and economic equity or inequities persist within a given context, but cannot diagnose why the problem persists or how to address it.</td>
<td>Possesses the capacity to describe and analyze social and economic equity/inequality within specific contexts. Can offer suggestions for ways of improving inequitable situations.</td>
<td>Can demonstrate how she/he has facilitated the improvement of inequitable situations through action.</td>
</tr>
<tr>
<td>4c</td>
<td><strong>Capacity to lead in an ethical and reflective manner.</strong></td>
<td>Can explain why it is important for public administrators to act as effective leaders in a vague or abstract way, but cannot provide specific explanations or justifications applied to particular contexts.</td>
<td>Possesses a basic comprehension of leadership and leadership theory within PA contexts, but cannot apply concepts to specific cases with any level of depth or insight. Can express both orally and in writing why she/he is pursuing an MPA and describe how the degree will help him/her achieve goals. Possesses a basic comprehension of ethical behavior and decision-making within PA contexts.</td>
<td>Can apply leadership theories and frameworks to specific situations and contexts. Can apply ethical frameworks to specific situations and contexts. Is able to articulate how she/he views ethics as a professional competency.</td>
<td>Can demonstrate how she/he has lead in an effective, reflective and ethical manner in a PA context.</td>
</tr>
<tr>
<td>4d</td>
<td><strong>Capacity to achieve cooperation through participatory practices.</strong></td>
<td>Can explain why it is important for public administrators to be open and responsive practitioners in a vague or abstract way, but cannot provide specific explanations or justifications applied to particular contexts.</td>
<td>Can identify instances in specific cases or context where a public administrator demonstrated or failed to demonstrate collaborative practices.</td>
<td>Can demonstrate how inclusive practices and conflict management wins cooperation for forming coalitions and collaborative practices in specific cases or contexts.</td>
<td>Can demonstrate the ability to orchestrate any of the following: coalition building, effective teamwork, and/or conflict management.</td>
</tr>
<tr>
<td>5</td>
<td>Communicate and Interact with a diverse and changing workforce and citizenry</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
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</tr>
<tr>
<td>5a</td>
<td>Capacity to undertake high quality oral and written communication to convey messages to specific audiences.</td>
<td>(1) Does not meet the standard</td>
<td>(2) Approaches the standard</td>
<td>(3) Meets the standard</td>
<td>(4) Exceeds the standard</td>
</tr>
<tr>
<td></td>
<td>Demonstrates some ability to express ideas verbally and in writing. Lacks consistent capacity to present and write.</td>
<td></td>
<td></td>
<td></td>
<td>Can demonstrate some instances in which verbal and written communication has persuaded others to take action.</td>
</tr>
<tr>
<td></td>
<td>Possesses the capacity to write documents that are free of grammatical errors and are organized in a clear and efficient manner. Possesses the capacity to present ideas in a professional manner. Suffers from a lack of consistency in the presentation of material and expression of original ideas and concepts.</td>
<td></td>
<td></td>
<td>Is capable of consistently expressing ideas verbally and in writing in a professional manner that communicates messages to intended audiences.</td>
<td>Can demonstrate evidence of leading or supporting public relations campaigns on behalf of a public or nonprofit sector organization.</td>
</tr>
<tr>
<td>5b</td>
<td>Capacity to appreciate the value of pluralism, multiculturalism &amp; cultural diversity.</td>
<td>Can explain why it is important for public administrators to be culturally competent in a vague or abstract way, but cannot provide specific explanations or justifications applied to particular contexts.</td>
<td>Can explain how cultural awareness, cultural knowledge and cultural skills are employed, or not employed, within specific cases.</td>
<td>Demonstrates a capacity to be aware of own behavior and its impacts on others, a capacity to understand how discrimination impacts contemporary workplace environments, and a capacity to draw on diverse groups to solve complex problems.</td>
<td></td>
</tr>
<tr>
<td>5c</td>
<td>Capacity to carry out effective human resource management.</td>
<td>Can explain why human resources are valuable to any undertaking. Possesses limited capacity in describing the critical feature of successful human resource management.</td>
<td>Can identify some of the major features of effective human resource management systems: staffing, performance evaluation, motivations and benefits. Possesses limited capacity to analyze HR issues relative to specific situations or contexts.</td>
<td>Demonstrates a capacity to identify and manage the necessary human capital to carry out a task or function within very specific contexts or situations.</td>
<td>Can point to instances in which he/she has lead or initiated projects or systems designed to improve human resource management practices within a specific setting.</td>
</tr>
<tr>
<td>5d</td>
<td>Capacity to use and manage information technology with internal and external audiences to achieve public administration goals.</td>
<td>Can explain why information technology (IT) is important to contemporary workplaces and public administration environments. Possesses direct experience with IT, but little understanding of how IT informs professional practice. Possesses little understanding of how IT is reshaping public administration.</td>
<td>Can identify instances in specific cases or contexts where organizations have demonstrated a capacity to use IT to foster innovation, improve services or deepen accountability.</td>
<td>Can identify how IT impacts workplaces, organizations and public policy. Can diagnose problems associated with IT tools, procedures and use. Can articulate how IT application is reshaping PA practice.</td>
<td>Demonstrates a capacity to view IT in terms of systems design, is capable of working with IT professionals in identifying areas of need for IT upgrades, IT procedures and IT use in real settings.</td>
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Appendix B: Summative Analysis#1

**Theme:** Security and safety in schools and on campuses in the United States

I have been always worried about safety and security in schools and on campuses, especially with all we have been hearing in the news for the last few years. So this assignment is an opportunity for me to delve more into this matter counting on one hand on my own curiosity and interest for the subject and all the interactions offered by the course of Public Administration that I am currently taking, on the other hand. The article that I read in the newspaper Seven Days, *Campus Public Safety, Security on Campuses, A Vermont Security Center Helps Keep Campuses Safe*, inspires me more in searching on the subject of safety and security in schools and on campuses. This first article is more focused on sexual violence on campuses although it is mentioning superficially other types of crimes in schools and on campuses. However, it is an entry way for me to look a little bit deeper into the topic of safety and security in schools and on campuses in the U.S. as a student of public administration.

In order to delve more deeply into the topic, I am looking into some current or planned policies relative to security and safety in schools and on campuses. I am also exploring the trade-offs the administration as an entity could face between security and privacy, security and liberty, etc. For instance, how should the administration in search of security for the citizens go about it without hurting the principle of liberty which appears to be one of the constitutional core values in the United States? Or how does the administration manage with cameras in schools and on campuses without violating people’s right to privacy, another constitutional right? The topic raises many more related subjects as well, such as questions about ethic, accountability, citizens’ participation, etc.

At this stage of the course, I can draw some links with the topics without already studied. After all the articles that I read so far, I ended up stating that one thing is obvious; violence is a fact beyond the numbers and the definitions of the terms. The important questions should be: What is the administration doing about this? What are the real challenges? One of the major takeaways that I learned from Herbert A. Simon’s study of administrative behavior is that decision-making is the heart of administration. So, if decision making is the same as managing as defended by Simon, then the issues related to gun control could make us think of a failure in the regulation. The lack of serious response of the administration in front of all the violence and the crimes looks clear when President Barack Obama in the course of an interview (published on mic.com on June 11, 2014) discusses his frustration with the lawmakers’ inaction on gun control legislation after the tragedy of Sandy Hook. He added that we're the only developed
country on Earth where massive shootings occur with regularity, adding that "if public opinion does not change, we're not going to change". It is certain that issue needs the involvement of the three branches (legislative, executive and judiciary) of the government in order to be solved or at least seriously approached. Without congressional support, Obama’s dozens of unilateral executive actions meant to quell gun violence in the United States will not operate as a set of laws would. Moreover, the broad action, such as banning assault weapons, strongly need congressional approval. How can we explain such a failure in the field of gun control in such a powerful country? This can refer us to the topic we studied about agenda setting where Kingdon asks the following question: "What makes people in and around government attend, at any given time, to some objects and not to others?" (Kingdon, 1984/2004, p. 564). I would blindly defend that gun control is one of the most important topics that should have a favorite place on the agenda because these mass shootings are seriously threatening peace and I cannot conceive any development without peace and stability. It is obvious that something must be done; the country needs a befitting law on gun control that it can rely on. Marshall Dimock would say that "Law, like administration, is government in action." (As quoted in Rosenbloom. 1993/2004, p. 450).

Hopefully, as we go deeper in the course of public administration, we will be able to answer with more confidence the questions the topic of security and safety in schools and on campuses are now arising.

Reference:

http://mic.com/articles/90921/obama-just-said-what-we-were-all-thinking-about-mass-shootings?utm_source=policymicFB&utm_medium=main&utm_campaign=social
Appendix C: Write up for Focus Group Discussions

PA380 Internship

The topic being “frontline supervisors’ empowerment, in order to avoid climbing the “Ladder of inference” and rushing into conclusions, I decided to hear from the custodial frontline staff. I put together three teams composed of two group of high performer custodians and one group of frontline supervisors. It is important to point out I defined high performer staff based on the core audit scores of their assigned work areas. In this paper, I am sharing the questionnaires followed during the focus group discussions, the composition of the teams as well as the findings. The goal is to utilize the data collected from the discussions with high performers to help select the best practices to influence positively low performers’ productivity. Concerning frontline supervisors’ data collected might help to underline where they need support from senior leadership or in terms of training.

1- Focus Group questionnaire for high performer employees

Opening script

- Thank the audience for their hard work and availability
- Explain the purpose of the focus group
- Encourage them to be open and
- Assure them of the confidentiality, as they say, “What happens in Vegas stays in Vegas.”

Operations planning

- What does quality work look like for you?
- How do time demands affect work quality?
- What safety concerns have arisen for you?
- What makes you the high performer that you are?
- What would you suggest to your supervisor to improve your performance?
  How about the performance of your team?
• What tips would you like to share with your teammates to improve their performance?

**Information**

• Is the information being shared with you by your supervisor sufficient? If not, what else do you feel you need to know?

• How would you like information to be shared with you?

**Problem solving**

• How do you deal with staff shortage? (Covering for others when they are off)

2- **Focus group questionnaire for frontline supervisors**

**The Key leadership tasks**

• **Clarifying roles and objectives**
  What do you see as your role to be?
  Are your subordinates clear on what their roles are?

• **Delegating**
  I know we are all feeling overwhelmed with the amount of work we have to do, are there opportunities to delegate work to team leaders or level 2’s?

• **Informing**
  Do you feel like you have the proper information needed to do your job?
  Do you feel that you are able to share information with your subordinates?
  What information would you like to have from our supervisors?
  What information would you like to be able to share with your subordinates?
  How should information best be shared with our subordinates?

• **Operations planning**
  What does quality work look like for you?
How do time demands affect work quality?
What safety concerns have arisen for you?
What makes you the high performer that you are?
What tips would you like to share with your teammates to improve their performance?

- **Monitoring and Assessing work**
  What motivates your subordinates to do a good job?
  How is our current monitoring system working?
  Do you have some suggestions for ways of improving the monitoring system?

Access to resources
What resources would you like to have to do your job better?

Access to support
What type of support from senior management would you like to have?
What types of training would you like to have?

3- **Composition of focus groups**

**Group 1 of high performers**
Jelena, Czeslawa, Reuf, Lindita, Osman, La Na, Gita, Nemir, Sofja and Dushanka

**Group 2 of high performers**
Michael White, Dim, Christine, Bhagwat, Chun, Ponleu, Jiechan and Liu

**Group of supervisors**
Bich, Senad, Slavojka, Emir, Isa, Rob and Thomson

**Data Collected**

**Focus Group discussions with high performer employees**
As a facilitator of the discussions, I tried to get the focus group members engage to get their honest answers and feedback. I know that to be engaged and open up, people need to feel relaxed and comfortable in their surroundings. My goal was to create a positive experience for the participants by asking questions that will awaken both their creative and critical sides. Some major findings attracted my attention according to the topics discussed: operation planning, information flow, performance measurement and problem solving (mostly about staff shortages).

- The discussions revealed that high performers customer almost unanimously define quality work referring to customer satisfaction. They agree that, it is the customer who defines what quality is. As a business, they seem better off going with the customer idea for quality because without the customer, the quality of the product or service does not matter. Therefore, to define quality work, we only need to listen carefully and the customer will tell us what is important and what quality means to them.
- The discussions also pointed out the time demand greatly affect work quality. Particularly, in winter season, will snow removal and tracking of salt in the buildings and the regular workload is overwhelming and depressing. Maybe, the department need to redefine what the priorities are.
- The discussions revealed that high performers simply care and take pride in what they do. They said they respect their job.
- The conversations revealed that there is a sort of disconnect between custodial staff and some customers.
- The employees on the focus groups shared that they do not have enough information about the schedules of the events taking place in the buildings they cover. Providing them with weekly or monthly event schedules would help them manage their time.
- The employees on the focus groups pointed out the lack of accountability that is hurting the general.
- The discussions showed that custodians have different interpretations of the term “basics” commonly used by supervisors when assigning tasks on staff shortage days. What do supervisors mean by asking a custodian to do only “basics” because they cannot do everything? We had an interesting discussion about the concept of basics. It could depend on the building, on the shift, whether we are on academic side or residential life and many other variables.
- About problem solving, the discussions were geared toward dealing with staff shortages. How do we get the work done despite the fact that the team is short staffed? Mostly, the answers
suggested that the department hires one or two floaters (custodians who will not have a specific area of assignment, who will flexible)

- The discussions revealed that frontline supervisors don not seem empowered enough to deal with unionized employees who think they can do whatever they want and be exonerated.

- About Core audits, the focus groups discussions showed the inspection tool used does not take into account the specificity of each building inspected. The custodians in the focus groups think that there is a mismatch between the numbers and the reality, which hardly convince of the effectiveness of the core audits. They said in substance that the auditors would find staff no matter what because they come to see staff.

Analysis and recommendations

Based on these major findings, I made some recommendations that might inspire the senior leadership:

- Put together a list of the building and the people of contact for each facility
- Work on introducing custodians and supervisors to the customers and establishing an effective communication system first between custodians and the customers then, between the supervisors and the customers.
- Suggest a definition of basic coverage (essential cleaning) to the customers and allow their input. In other words, collaboratively define
- Keep the customers informed about projects schedules, snow days’ coverage, staff shortage and types of cleaning to expect in case of staff shortage and a suggestion of catch up plan afterward.
- Share with custodians the weekly or monthly event schedules in the facilities. It will help them better manage their time and provide quality service to the customers in a timely manner.
- Supervisors would gain by getting to know better their team members. A tool such as Myers Briggs might be helpful.
- An effective use of the equipment would help lower the stress and pressure felt on days of staff shortage, snow days. It would be helpful to train staff how beneficial using equipment properly would be.
- Consider hiring floaters (employees who won’t have a designated assigned area and who could be sent anywhere to address staff shortage and absenteeism)
• Relaunch Core Management processes and address the downfall of the current inspection tool that is systematized for all staff and all buildings. (2017 External consultants Report)
• Coach, mentor, train employees and hold them accountable

Focus group discussions with frontline supervisors

After conducting focus group discussions with high performer custodial frontline staff, hearing from the frontline supervisors appeared necessary. The goal was to hear their challenges as leaders when performing their tasks of clarifying roles and objectives, delegating, informing, operation planning, monitoring and assessing work, problem solving and finally managing technical innovation and creativity. The other goal was to hear about their access of power through access of resources, access of information and access of support. The ultimate goal was to locate any issue preventing frontline supervisors’ empowerment and figure out ways to overcome whatever challenges the frontline supervisors are facing.

Regarding clarifying roles and objectives, the UVM Custodial frontline supervisors see themselves as coaches or leaders providing instructions, training and supplies to their team members to allow them to perform their daily tasks. They are realizing their role is changing increasing administrative tasks, which tends to lower their field time with staff. For instance, they were asked to inventory and order supplies, and they were even asked to test expired cleaning chemicals or remove dead animals. They feel like they do not have a precise job description with a large scope of work. They reported that their subordinates understand and know their job description, but some are just not dedicated to the tasks certainly because of the lack of work rule enforcement by the senior leadership and the heavy weight of the Union on management (the fear of grievances, fear to confront the Union). For them, some staff members “play games” knowing that supervisors are powerless. Frontline supervisors almost have to beg the custodians to perform their tasks.

In regards to delegating, frontline supervisors responded that it is really based on trust and it varies from one team to the other. The delegation is encouraged for team leads and Level 2 custodians, but is hard to implement. The team leads are the immediate assistants of the supervisors, but the constant staff shortages do not give the opportunity to the leads to play fully their role because they are always covering for the absentees. Consequently, such a situation allows a limited amount of time dedicated to train the team leader to successful carry out a delegation. With the staff shortage, the team leaders become like other custodians instead of performing basic training to the other custodians.
In general, when asked about informing the supervisors agreed that they feel well informed and think most work related information is shared with staff and feedback well received. However, in few instances such as updates about staff work restrictions often dealt with at the main office level, they mentioned a lack of information.

In regards to operations planning, we laid out three criteria of appreciation: quality, safety and time demands. When asked about operations planning, the frontline supervisors replied about quality that it means completing all tasks and be able to feel proud of the work done and make the customers happy. Some defined quality as work well done the first time. About time demands, the frontline supervisors find them stressed in some instances such as snow (where the priority is clearing snow) and days of staff shortage where workers are asked to prioritize work. Doing so requires a selection of tasks according to their importance, which negatively affects the quality cleanliness of the entire facility to be cleaned. For instance, some facilities have an impressive numbers of classrooms to get ready most of the time before 8am, which is hardly achievable on busy days. In general, they agreed that time demands affect work quality and may even raise some safety concerns. The frontline supervisors also mentioned that some staff wasting time before starting the actual work worsen the effects of time demands on quality work. About operations planning and safety, the concerns are related to staff finding some buildings unlocked when they arrive at the beginning of the morning shift. The staff members are also concerned about some unknown customers asking them to open doors for them. This puts them in a situation of dilemma between safety and customer service. Refusing to open the door may be seen as a bad customer service whereas opening the door may amount to a safety issue.

Regarding monitoring and assessing work, the frontline supervisors said that they think that the best workers will do their best job when they feel their work is appreciated and when they feel respected. They added that being in a union environment limit their monitoring ability. In many cases, when the supervisors check on staff’s work, they feel frustrated and untrusted.

To the question about access to resources and support, the frontline supervisors almost unanimously responded that they have the right supplies, equipment and training. They also mentioned that the soft skill training sessions that they started a few months ago are helpful. The frontline supervisors would like to see more support from the senior leadership. They need to set the tone, enforce the work rules and make it clear to the frontline staff that being members of the union and being high performer employees are not exclusive. In other words, one can be a union employee and still be a high performer.
employee guided by the Department’s Our Common Ground Values, which are Integrity, Commitment, Accountability, Respect and Excellence.

Throughout their answers, the frontline supervisors kept bringing up concerns about the Core audits. As mentioned during the focus groups discussions with high performer custodians, the supervisors also reported that the inspection tool used is much systematized for all staff and all areas and does not take into account the specificity of each building inspected. This hardly gives an understanding of how staff are performing or how buildings are going to be kept cleaned. In addition, they think that it would be great if the Core audit could be performed entirely by a third party without getting the supervisors’ involvement for more impartiality. They will still be conducting the weekly inspections and following up with the frontline staff to address the deficiencies.

**Analysis and recommendations**

From the findings, we can see that UVM frontline supervisors have a very limited margin of maneuver. We can assert that the frontline supervisors do not struggle much with some of their tasks such as clarifying roles/ objectives and planning and others. However, it is certain that they feel more challenged with delegating, monitoring and assessing work. Most importantly, even though there have been a lot of improvement lately, the frontline supervisors seem to be not fully trusted and not fully supported by the senior leadership. Besides, the fear of the Union has led to an over protection of the frontline staff to the detriment of the work rules and procedures that are hardly enforced, which leaves the supervisors powerless. As we know, a rule that is not enforced or enforceable will not be effective.

Based on the focus group discussions, I suggest the following recommendations to set the stage for frontline supervisors’ empowerment:

- Setting the tone by redefining UVM Custodial Services Department’s organizational culture, which promote the Department’s Common Ground values (Integrity, Commitment, Accountability, Respect and Excellence) and clearly state who we are as an organization. Are we task-oriented or people-oriented?

- Addressing the lack of sufficient cultural competency within the entire Department including the senior leadership team.
• Addressing the lack of emotional intelligence within the entire Department including the senior leadership team. Emotional intelligence is defined as the capacity to be aware of, control, and express one's emotions, and to handle interpersonal relationships judiciously and empathetically. It is seen, as is the key to both personal and professional success.

• Designing a cleaning schedule for regular days (full staffed) and a backup schedule for days of staff shortage.

• The frontline supervisors need to know their team members and develop with each them a professional relationship accordingly (Myers Briggs could be an option to explore).

• Put in place a system that helps frontline supervisor to list the people of contact of the buildings that they are in charge of and build a productive relationship with them. The frontline supervisor need to keep the customers informed about the regular cleaning schedule as well project schedule

• Define an onboarding process for frontline supervisors as well as frontline staff

• As part of the onboarding process, initiate an indoctrination program for frontline supervisors along with UVM new employee orientation for an effective frontline supervisor onboarding (the indoctrination program should be customer service-oriented).

• As part of the onboarding process, initiate an indoctrination program for frontline staff along with UVM new employee orientation for an effective frontline staff onboarding (the indoctrination program should be customer service-oriented).

• Formally introduce new supervisors to the customers (managers responsibility)

• Train frontline supervisors on training, coaching and mentoring frontline staff

• Re-initiate “the train-the-trainer” (TTT) program for frontline supervisors. TTT is an education model whereby individuals identified to teach, mentor or train others attend training themselves.
• Encourage supervisor to exercise more mindfulness and always give feedback (positive or negative). The tip is to treat staff, as we would like to be treated (respect).

• It is important that frontline supervisors revisit frontline staff members job or position description with them if needed.

• It is very important that frontline supervisors thoroughly document any performance or behavioral issue encountered with staff.

• Train, coach, mentor and sponsor but hold employees accountable through the implementation and the enforcement of the work rules and procedures in place.

• Frontline supervisors need to demystify the Union by studying, mastering and applying the terms of the UE contract in good faith, as it was negotiated.

• Reward supervisory zones who exemplify the qualities of the Department’s Common Ground’s award (Integrity, Commitment, Accountability, Respect and Excellence)

• Reward the staff members who exemplify the qualities of the Department’s Common Ground’s award (Integrity, Commitment, Accountability, Respect and Excellence) and nominate them for The University President’s Our Common Ground Staff Award.
Appendix D: Organizational observation

PA 302 Organizational Assessment Project
Due on 04/04/2019

Observations

UVM Custodial Services is my organization of interest for this assignment. Since January 15, 2019, Custodial Services’ frontline supervisors and senior leadership team have been meeting every other week to receive training on the United Electrical Workers (UE) contract that has been in effect since 2017. Peter Blackmer, the UVM Administrative Professional Senior for the Division of University Relations and Administration conducts the trainings. The majority of custodial frontline staff are unionized employees. The goal is to educate the custodial leadership team on the terms of the contract in order to lower contract violations and empower the leadership team.

Although I serve primarily as a supervisor support person, I am also a frontline supervisor, and have the opportunity to take these trainings. On 2/26/2019, we had a training session and I decided to observe the session. The training was scheduled to last an hour from 6am to 7am. While the audience was waiting for the session to start, the trainer, Peter checked to make sure that everyone was in the room. When he realized a few frontline supervisors were not in the room, he suggested we give them five minutes to join us. One of the managers in the room objected to Peter’s suggestion and insisted that we start the session without waiting for those who were running late.

Keeping custodial supervisor positions filled is difficult. There is a lot of turnover. For several months now, she has been three vacancies: two frontline supervisors have resigned and one has announced his retirement. Recently another frontline supervisor reporting to her has just stepped down. The position carries with it a lot of responsibility including adhering to the UE contract. It is considered “the bible” for custodial supervisors.

Given the limited number of seats in the room, the department’s director gave his seat away and stood up by the door. He seemed more concerned for frontline supervisors attending the session than for himself.

Dr. Blackmer presented a training module on article 9 in the UE contract entitled Grievance and Arbitration Procedure. He explained what actions are “grievable”. As part of this module, he discussed
UVM’s Custodial Service Common Ground values. Connie Russell, the department’s Administrative Professional Human Resources Business Manager, who assisted with the training, made a point that the department common ground values are not to be confused with a set of rules. They are not part of the contract and therefore, are not “grievable”. She added that they would be “grievable” by UE members if they were a set of rule incorporated in the contract. The training ended on the discussions about article 10 -Discipline and Discharge, which Dr. Blackmer presented as tools that management uses to improve and support performance.

**Analysis**

After observing the training session, few facts attracted my attention and I would like to reflect on them a little bit deeper.

The initiative of the training shows how concerned the department is with increasing the knowledge and skills of its employees. As we know, training is important at many levels. For instance, it helps increase job skills and shape attitudes of employees to perform better. The UVM custodial leadership team, especially the frontline supervisors, are considered as agents of management and since they are the ones directly engaging with unionized frontline staff members, it is crucial that they master and embody the contract’s terms. The contract is supposed to have been negotiated in good faith and it is important it is implemented with the same good faith as well.

The refusal to wait for few more minutes for the frontline supervisors running late was not a big issue and could be understandable, but the most concerning thing was the ton and ton used; a little discomforting and surprising. The training session was scheduled to start at 6am, which it when some custodians start their shift and need to receive instructions from their supervisors. The supervisors running late were meeting with their employees before rushing to the training session. Scheduling the meeting to start a 6:30am could have been a better option. Or perhaps the meeting could have started five minutes late.

The manager who insisted upon starting the training on time perhaps was trying to make a point about being punctual. However, this manager who was opposed to waiting for her colleagues also has position vacancies in her department. Perhaps a hard-nosed approach could be the blame?
Could her leadership style be causing high levels of turn over? These questions are worth considering if we are to identify and ultimately rectify problems with an organizational culture.

The lack of seats in the conference room and its small size did not allow everyone on the leadership team to have a comfortable seat the room. However, the director, by giving up his seat showed by his actions that he cares for his employees. This demonstrates that he could be a good advocate for his staff members.

Besides the mission statement of the department, which is “we provide the university with a clean, safe and healthy environment in which to live, learn and work”, there are values shared and promoted within the department and beyond. The UVM Custodial Services Common Ground Values are known under the acronym of “I CARE”, which stands for Integrity, Commitment, Accountability, Respect and Excellence. These are values that we believe in our organization but they are not part of the UE contract and are not “grievable” by union employees unlike the rules contained in the contract. This is the point that the department HR manager brought up during the training session. She made it clear that the department common ground values are not to be taken for a set of rules, but a set of values.

Process

This exercise was an interesting experience in the sense that it allowed me to pause, pay close attention to small details, and reflect on what I observed. Being one of the department’s frontline supervisors attending the training session and playing the role of the observer at the same time, may have left room for biases. In other words, my prior knowledge of the leadership team might have influenced my observations, assessment and analysis.
MEMORANDUM

To: Seattle Community Association Board of Directors
From: Cheryl Cobbs, Executive Director of Seattle Community Association (SCA)
RE: The necessity of the “undoing racism” initiative
Date: January 1, 2001

This memo is in response to a request given to me by the Seattle Community Association Board of Directors at their last meeting. As we all know, racism is a very sensitive topic. It is truly difficult to address it, and no matter what approaches we take, there is always the possibility of a backlash. However, based on the information I have, I assert that the undoing racism initiative is a necessary endeavor. The purpose of this memo is to articulate why it is necessary to put in place the “undoing racism” initiative, and why staff support is needed to implement it in order to avoid or at least minimize staff backlash.

The necessity of the “undoing racism” initiative in Seattle Community Association

I will be the first to speak up about SCA’s accomplishments in meeting our goals and the importance of the work we do. However, I also believe that only focusing on our day to day work is causing us to lose sight of the real issues that are negatively impacting employees’ performance and service to our clients. We need to remember that like any organization, the labor force is “where the rubber meets the road”. In our organization, we deal with people mostly face to face. Therefore, that is why SCA’s focus most is on our labor force. Then, the question should be: are we getting the best from our work force? If, not, what is the real problem? Based upon my own personal experiences and the stories I have heard, there is an opportunity for the SCA to address the issue of racism proactively with the “undoing racism” initiative. Personally, I believe everybody has a talent and simply needs the appropriate space to express it. This is a simple principle. The quicker we understand this principle, the faster we will address our challenges with racism. The phenomenon of racism unfortunately does not leave room for such an appropriate space to exist. On the contrary, it hurts the community by destroying any atmosphere of exchange and professional growth which is necessary for any successful organization.
I would like to share a story that I found pertinent to this discussion. It also helps to establish the specific need of the “undoing racism” initiative.

One of our staff members who is a woman of color, wrote in response to a survey question “what would look or feel like if we became an anti-racist organization?” she stated that she “would be able to bring her full self, with all her natural abilities and potential, to contribute to the agency’s work, and would be rewarded professionally for doing what came naturally to her, rather than checking her community identity at the door”.

The woman’s comment implies that our culture is limiting to people of color. One can imagine the challenges this woman and other people of color have when performing their day to day work duties. Her words imply that she feels pressured to fit into a white world and cannot bring her culture to the workplace. This has to be stifling.

This woman’s comment is only one example of institutional racism we have here at SCA. There are many others who have expressed similar sentiments. Therefore I strongly advise the Board that we must implement the “undoing racism” initiative. This initiative should be seen not only as an effort of diversity promotion, but also as a pathway toward empowerment of our community through collaborating with our community. In my view, the best way to bring this about is for staff members to be educated and trained.

**Communication, Training and Education as the strategy to avoid or minimize staff backlash**

Training sessions will help to increase staff awareness about racism. It will also help to break the taboo of talking about racism and reveal the connection existing between racism and poverty. We also intend to encourage staff to share their stories. This is the opportunity for staff members to be listened to and for their coworkers to learn from what we expect will be heartfelt stories. If we succeed in drawing the link between racism and poverty and in showing staff the benefits of having an inclusive plan, it will inevitably improve our service delivery. Our staff members should understand that institutional racism is “the collective failure of an organization to provide an appropriate and professional service to people because of their color, culture, or ethnic origin.”(Stephen Lawrence). They will also learn about internalized racism - the acceptance, by members of the racially stigmatized people, of negative perceptions about their own abilities and intrinsic worth, characterized by low self-esteem and low esteem of others like them.
A full collective two-way discussion with the staff will make clearer the picture of how people’s consciousness is being influenced by racism by the ruling class and the support that the board of directors has in the fight against racism. It will undoubtedly improve services to clients and our interactions within SCA. We should assert that the fight for affirmative action in the labor movement is necessary to the agency’s unity.

Finally, we should probe how to better connect the self-interests of white workers and the interests of the agency to the fight against racism for equality. We will convince white workers that fighting racism is necessary not simply because it is morally correct, but because it hinders, and distorts and disfigures the entire society.
Appendix F: Reaction Paper #2 on climate change and poverty

CDAE 173 Evolving Trends in International Development
Due date: November 12, 2019

**Topic:** Identify two real-world examples of contemporary development issues that reflect the cross-cutting human security theme. How these issues are being addressed, and are these approaches likely to be successful?

Nowadays, the debate on contemporary development is more about sustainable development. As we learned from reading Sachs, the world is far off from achieving sustainable development, which shows that there is a lot more to be done in order to achieve sustainable development goals. There are many issues such as diseases, environmental problems, terrorism, extreme poverty, food security and others that are too complex to be solved by countries individually. These are global threats that are leading to a global crisis. As such, the response to successfully address it can only be conceived globally. Therefore, the solution to the global problem rests on facing the challenge of combining economic growth with social inclusion, environmental sustainability and good governance. In this paper, I would like to reflect on two contemporary development issues, which are climate change and poverty. My analysis will explore some ways how these issues are being addressed. I will also discuss the effectiveness of these approaches that I chose to reflect on.

**Climate Change**

Sachs asserts that climate change is a global crisis that needs a global response. To point out the seriousness of the challenge, he said that, “there never been a global economic problem as complicated as climate change. It is simply the toughest public policy problem that humanity has never faced” (Sachs, 2015, p394). Concretely, countries around the world are measuring the seriousness of the matter and are taking collective and comprehensive actions in order to address the global problem in general and the phenomenon of climate change in particular. Consequently, international instruments are being explored as the global response to the threat of climate change. For instance, in 1972, the United Nations Conference on Human Environment took place in Stockholm to lay the foundation for global environment governance. It was the first United Nation that focused on international issues. It underlined the necessity for humanity to safeguard the Earth’s finite resources. It led to creation of the
United Nations Environment Program, which committed to promote sustainability and safeguard the natural environment, as part of human rights.

In 1992, the Earth Summit took place in Rio to reconcile worldwide economic development with protection of the environment. The countries committed themselves to the pursuit of economic development in ways that preserve or protect the Earth’s environment and nonrenewable resources.

On September 2019, in New York, a High-Level Political Forum on Sustainable Development took place under the auspices of the General Assembly accelerating the implementation of the 2030 agenda for Sustainable Development and the 17 Sustainable Development Goals (SGDs), among which climate change is enumerated. For the reminder, the 2030 agenda was adopted in September 2015 including the 17 Sustainable Development Goals (SGDs). Antonio Guetrres, the United Nations Secretary-General said that “the 2030 Agenda and the Sustainable Development Goals are our collective response to building a fair globalization.”

Among the SDGs, Goal 13 is the one assigned to climate change and it’s entitled “climate Action”. It aims at taking action urgent action to combat climate change and its impacts. Through Goal 13, countries commit to strengthen resilience and their adaptive capacity to climate related risks and dangers in all countries. The countries are also committing to integrate climate change measures into national policies, strategies and planning. Moreover, the countries are committing to improve education, raise awareness on climate change mitigation, adaptation, impact reduction. Goal 13 also targets the implementation of the commitment undertaken by developed-country parties to the United Nations Framework Convention on Climate Change to a goal of mobilizing jointly $100 billion annually by 2020 from all sources to address the needs of developing countries in the context of meaningful mitigation actions and transparency. The other action tied to this is the operationalization of the Green Climate Fund through its capitalization whenever possible. Finally, through Goal 13, all the countries took the firm decision to promote mechanisms for raising capacity for effective climate change-related planning and management in least developed countries.

On April 22, 2016, 195 countries signed an agreement within the United Nations Framework Convention on Climate Change in order to deal with greenhouse-gas-emissions mitigation, adaptation and finance. That agreement, referred to as The Paris Agreement was adopted at the COP21 and went
into force on November 4, 2016. By The Paris Agreement, the signatory countries firmly committed to work to limit global temperature rise to well below 2 degrees Celsius. Besides, the agreement empowers the countries to deal with the impacts of climate change. To that effect, appropriate financial flows, a new technology framework and an enhanced capacity building framework is in place to support action developing countries and the most vulnerable countries’ actions, in line with their own national objectives. In addition, The Agreement provides for enhanced transparency of action and support through a more robust transparency framework.

**Poverty**

According to Sachs, the World Bank defines extreme poverty as an income below a poverty line of $1.25 per day, measured in the U.S. dollars at the international prices of 2005” (Sachs, 2015, p.139). Sachs criticizes this definition of the World Bank and suggests that it would be better to define the poverty line based on the ability of individuals to satisfy their basic needs, which include food, clean water, shelter access to health care, education, transportation, and so on (Sachs, 2015). Same as the issue of climate change, the issue of poverty in general and extreme poverty in particular is a threat to global stability and as such, calls for a global response. In this regard, Sachs defends that, “where growth occurred, extreme poverty has declined, often to negligible levels.” He went on adding that there is a reason to believe that extreme poverty can be ended. He believes that sustained economic growth can spread to the remaining regions – mostly to tropical Africa- and eliminate the remaining areas of extreme poverty (Sachs, 2015). International instruments such as the Millennium Development Goals (MDGs) and later on the Sustainable Development Goals (SDGs) are among other efforts, some global responses to the phenomenon of poverty in the world.

As we can imagine, poverty has many causes including unemployment, social exclusion, disasters, diseases and anything that can prevent people from being productive. The global response seems to have been framed to fight these causes and eradicate them in order to overcome the phenomenon of poverty around the world.

The Millennium Development Goals were established after the Millennium Summit of the United Nations in 2000. They were international development goals for the year 2015. Among the eight goals, eradicating extreme poverty and hunger is on top of the list. In 2000, MDG 1 aimed at halving the proportion of people whose daily income is less than $1.25 and achieving full and productive employment, as well as decent work for all, including young people and women. The other target of
MDG 1 was to halve the proportion of individuals suffering from hunger in the period between 1990 and 2015.

Thanks to the implementation of the MDG 1, poverty rate has declined in many part of the globe. However, there is still lots of effort left to be made to completely end poverty and hunger in the world. For instance, Sub Sahara Africa and South Asia are still under extreme poverty. The seriousness of the situation inspired the United Nations to pursue the fight against poverty beyond the Millennium Development Goals through the Sustainable Development Goals.

SDG 1 is entitled “No Poverty”. It aims at completely ending poverty in all its forms regardless of the location. The countries committed themselves to eradicate poverty by 2030. They also took the resolution of implementing nationally appropriate social protection systems and measures for all. They also decided to reduce considerably the proportion of men, women and children of all ages living in poverty by 2030. In addition, they promised to ensure that all men and women and mostly the vulnerable, have equal rights to economic resources, basic services, new technology and financial services, including microfinance. Through SDG 1, the nation parties engaged to build the resilience of the poor and those in vulnerable situations and reduce their exposure and vulnerability to climate-related extreme events and other economic, social and environmental shocks and disasters. They also promise to ensure significant mobilization of resources from a variety of sources, including through enhanced development cooperation, in order to provide adequate and predictable means for developing countries. Moreover, the committed to initiate sound policy frameworks at the national, regional and international levels, based on pro-poor and gender-sensitive development strategies, to support accelerated investment in poverty eradication actions (United Nations, 2019).

**Effectiveness of the measures**

The impact of climate change and poverty crosses not only countries, but also generations. Nations seem to have understood that no single country can successful fight in isolation these devastating issues. As mentioned earlier, since these are threat to the global stability, only a global response can prevail, which explains the enthusiasm around the international instruments, I referred to above. These instruments are public policies that if properly implemented could produce greater outcomes. However, the challenge with these treaties or international agreements made of commitments of nation parties is that their implementation are almost left to the discretion of the nation parties with no real enforcement power to oblige the countries to respect their commitments. For climate change, progress is made even though the efforts are being undermined by lobbyists against climate change and the measures to convert to low
carbon energy. These lobbyists represent the interests of companies heavily dependent on oil and gas despite the environmental risks.

Concerning the actions against poverty, the target of reducing extreme poverty rates by half was met five years ahead of the 2015 deadline and over a billion people raised above extreme poverty level. In the developing regions, the rate of people living on less than $1.25 a day dropped in 2015. A lot of progress was made thanks to the Millennium Development Goals. After the adoption of the Millennium Development Goals, extreme poverty mostly in Sub Saharan African and South Asia began to fall. Despite the progress noticed, there are still regions in the world reaming under poverty. There is hope with the Sustainable Development Goals replacing the MDG and pursuing the effort against poverty.

In sum, I admit that the seriousness and the nature of climate change and poverty necessarily call for a global response to overcome these issues. However, I would like to point out that the list of the international instruments that I suggested as ways addressing these issues is not exhaustive. There certainly exists other approaches addressing these issues. The best comprehensive approaches to address these global issues would rest on the countries capacity for mitigation and adaptation, as Sachs recommended (Sachs 2015, Chapter 5).

References

Jeffrey Sachs, 2015, the Age of Sustainable Development, Columbia University Press.


Appendix G: Individual project/ Dynamics of Foreign Policy in Africa

Topic: DYNAMICS OF FOREIGN POLICY IN AFRICA AND RELATED TO THE UNITED
STATES AGENCY FOR INTERNATIONAL DEVELOPMENT PROGRAMS: CASE OF
WEST AFRICA—WATER, SANITATION AND HYGIENE

Due date: 12/05/2017

Abstract:

Foreign aid for development is presented as a means to assist developing countries in growing their economic, environmental, social, and political infrastructures by providing both technical and financial aid. Also, foreign aid is a mechanism used to expand donor countries’ markets into recipient countries. This paper explores both perspectives. Throughout the latter half of the twentieth century and into the twenty-first century, African foreign aid appeared to be the optimum solution to resolving the problem of African poverty. Obviously, decades after billions of dollars have been injected in African countries economies in the form of public aid for development, the situation remains that those countries are still characterized by their extreme poverty. Also, besides the problems with foreign aid, many African countries have internal issues as well, such as poor governance, colonial institutions that rob needed monies from the populace, famine, and so forth that also contribute to endemic poverty. These countries are known for their rampant corruption, tyrannical states, inexistent infrastructures or those that lay in ruins, largely uneducated populations, low-salaries, virtually non-existent tax bases, poor access to global markets, among other challenges. Foreign aid is not achieving the partners’ goals and seems to be the problem and not the solution. This paper explores why this is.

Keywords: Foreign aid, poverty, Africa, global markets, rampant corruption.

Introduction

The real problem that is undermining the effectiveness of foreign aid in African countries is poverty. Despite all the financial assistance that was poured into Africa for decades, the situation remains concerning, which leads to some questions. Dambisa Moyo asks, in her book entitled Dead Aid: Why Aid Is Not Working and How There Is a Better Way for Africa the following questions: “why is it that Africa, alone among the continents of the world seems to be locked into a cycle dysfunction? Why is it that out of all the continents in the world, Africa seems unable to convincingly get its foot on the economic ladder? Why in a recent survey did seven out of the top “failed states” hail from that continent?
Are African’s people universally more incapable? Are its leaders genetically more venal, more ruthless, and more corrupt? Its policy makers more innately feckless? What is it about Africa that holds?” (Dambisa Moyo, 2009) in other terms, has aid contributed to economic and poverty reduction? Maybe all Africa needs for its development if it cannot turn its back to foreign aid is a “combine effective philanthropy and technical know-how, and a smart policy engineering” to borrow former US President, Barack Obama’s terms during his speech at the Goalkeepers” event. Perhaps, with that, Africa will stop with today’s “never ending cycle of corruption, disease, and poverty and aid dependency” (Dambisa Moyo). The African policy makers should rethink their policies and address the questions that would lead them to boosting agricultural productivity, strengthening health care systems, supporting democracy, human rights, and good governance, increasing resilience to climate shocks, and leading quick responses. Those are the promises that USAID aims to realize for a more peaceful, productive and more prosperous Africa. Due to the variety of programs implemented with the assistance of USAID in Africa, this paper focuses on one specific program rather than pursuing broader foreign policy questions, which allows for some generalization. This paper focuses on quantitative and qualitative data and work on West Africa Water Sanitation and Hygiene, a USAID program implemented in Ghana, Niger, and Burkina Faso, three West African countries. Also addresses is results of pertinent focus group discussions and multi-site evaluations. This paper provides a logic model based on information from relevant readings.

**Research Methodology**

Research for this paper is compiled and analyzed from existing source material. The existing data and studies verify my assumptions concerning the dynamics of foreign aid in Africa – that is, that it exacerbates rather than reduces poverty.

The USAID West Africa Water Supply, Sanitation Hygiene Program (WA-WASH) is a noteworthy and representative African USAID program. Its goal was to increase sustainable access to safe water and sanitation and improve hygiene in West Africa. The duration of the program was four years, from 2011 to 2015. The program aimed to introduce innovative and low-cost water, sanitation technologies and to promote proper hygienic behaviors through developing practical models of sustainable WASH service delivery. Also, the program implementers planned on achieving their goal by facilitating cooperation and creating synergies between WA-WASH and other relevant USAID/West Africa programs and priorities in the region. These synergies helped increase the capacity of national and regional institutions
to replicate these approaches and models throughout the region and by facilitating knowledge sharing among the WA-WASH countries and beyond.

USAID WA-WASH program was funded by USAID/West Africa (USAID/WA) and was implemented in Ghana, Niger and Burkina Faso, three West African countries. In these countries, “it is widely recognized that insufficient and inadequate access to water and sanitation services has enormous health, economic, and social consequences. Poor water quality continues to pose a major threat to human health. Diarrheal disease alone is responsible for the deaths of 1.8 million people every year (WHO, 2004). It was estimated that 88% of that burden is attributable to unsafe water supply and inadequate sanitation and hygiene mostly affecting children in developing countries (WHO, 2004). Women and girls spend several hours a day to collect water from distant sources and this translates into significant forgone income for women and the impossibility for girls to attend school. These challenges drove the intervention of USAID through the WA-WASH Program in 2011. In October 2014, a Mid-Term Evaluation (MTE) was conducted through a combination of processes including a review of project and other relevant documents, annual reports, focus group discussions, interviews with key informants (WA-WASH field staff, NGOs and local authorities), beneficiaries of the USAID WA-WASH program, and observations of program activities in the field.

Before developing the methodology, it is important to explore the following evaluation questions to formulate a statement of work:

- To what extent, how, and at what level (local, country, regional, sector) has USAID WA-WASH facilitated access to cleaner water supply, better sanitation services and improved hygienic behaviors?
- Has USAID WA-WASH integrated other development activities (food security, climate change and sustainable resource management) in a way that contributes to the achievement of the program results and effectiveness of the program? If so, what specific lessons can be learned for replication in similar programs and inform future USAID programming in applying integration as a strategic program design?
- How has knowledge management improved because of USAID WA-WASH?
- What is the likelihood of sustainability of key USAID WA-WASH investments, specifically the continued engagement of private sector partners?

To find answers to the above questions the methodology was the following:
• Laying out the project background supported by WA-WASH Program results framework, which objective is “Strengthen resilience and sustainable access to water supply, sanitation and hygiene for better livelihoods.”

• Laying out the evaluation methods: documents reviewed, quantitative data, qualitative interviews, sampling techniques (focus group discussions), data collective methods, processing and analysis of data, study limitations, findings, conclusion and recommendations


For the qualitative (quantitative?) data, Ghana Institute of Management and Public Administration Consultancy Services designed quantitative (qualitative?) data instruments in collaboration with USAID to answer the evaluation questions. This provided an independent assessment of the progress and performance to date of the program, and identified the appropriate adjustments that needed to be made to ensure the success of the program by the end of its four years of funding. The questionnaire consisting of both closed and open-ended questions was administered. It was designed to capture information relating to the overarching assistance objectives.

For the qualitative interviews, the evaluation team reported that they employed qualitative tools such as key informant interviews in addition to field visits and observations to shed light on the issues at stake. They also visited project sites to observe activities in the field. To be more efficient, the consultant reported that they used same-sex interviews through focus group discussions to explore gender aspects of the benefits of the program’s interventions.

For the sampling, the evaluation team randomly selected communities that were visited by the WA-WASH. For Burkina Faso, the team visited eight (8) communities. For Ghana, the evaluation team visited twelve (12) communities and in Niger, the team visited eleven (11) communities.
Table showing focus group discussions held by WA-WASH (source WA WASH PMP, September 2014)

<table>
<thead>
<tr>
<th>Regions</th>
<th>Number of FDG Held</th>
<th>Number of Men</th>
<th>Number of Women</th>
<th>Total</th>
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<td>Niger</td>
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<td>Telliberi</td>
<td>5</td>
<td>34</td>
<td>50</td>
<td>84</td>
</tr>
<tr>
<td>Maradi</td>
<td>3</td>
<td>24</td>
<td>24</td>
<td>48</td>
</tr>
<tr>
<td>Zinder</td>
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<td>34</td>
<td>43</td>
<td>77</td>
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<tr>
<td>Total</td>
<td>11</td>
<td>92</td>
<td>117</td>
<td>209</td>
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<th>Ghana</th>
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<td>Nandom</td>
<td>4</td>
<td>39</td>
<td>46</td>
<td>85</td>
</tr>
<tr>
<td>Lawra</td>
<td>4</td>
<td>41</td>
<td>47</td>
<td>88</td>
</tr>
<tr>
<td>Nadowli</td>
<td>4</td>
<td>46</td>
<td>49</td>
<td>95</td>
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<tr>
<td>Total</td>
<td>12</td>
<td>126</td>
<td>142</td>
<td>268</td>
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<table>
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<tr>
<td>Centre</td>
<td>2</td>
<td>30</td>
<td>23</td>
<td>53</td>
</tr>
<tr>
<td>Centre Ouest</td>
<td>1</td>
<td>8</td>
<td>10</td>
<td>18</td>
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<tr>
<td>Boucle Du Mouhoun</td>
<td>3</td>
<td>31</td>
<td>36</td>
<td>67</td>
</tr>
<tr>
<td>Sahel</td>
<td>2</td>
<td>12</td>
<td>12</td>
<td>24</td>
</tr>
<tr>
<td>Total</td>
<td>8</td>
<td>81</td>
<td>81</td>
<td>162</td>
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</tbody>
</table>

For data collection, WA-WASH formed two teams, A and B for the fieldwork to collect primary and secondary data. Team A consisted of two core team members and two field officers responsible for the field work in Burkina Faso and Niger. Team B consisted of one core team member and two field officers who were responsible for the fieldwork in Ghana. The questionnaires were prepared and approved by USAID/WA.

The Evaluation Team revealed that they used Statistical Package for the Social Sciences (SPSS) application software to process and analyze the data. They were then able to depict trends in participation and capacity across the communities visited. In terms of the qualitative data from the Focus Group Discussions, the team employed thematic coding and analytic techniques to analyze the qualitative data.

Among the study limitations, it is important to note that the communities visited are very disperse and the travel time to reach them for the focus group discussions ended up being longer than expected. Therefore, the time spent with focus groups was much less than planned. In addition, by triangulating
responses between the quantitative survey with documentation review and key informant interviews, a potential bias must have affected the results.

The key findings will be addressed in the following points:

- Extent to which USAID WA- WASH has facilitated access to improved water supply
- Extent to which USAID WA-WASH has facilitated improved sanitation services
- Extent to which USAID WA-WASH has facilitated access to improved hygiene behaviors
- Gender Mainstreaming and livelihoods support for women
- Knowledge management improved because of WA-WASH
- Likelihood of sustainability of key USAID WA-WASH investments, specifically the continued engagement of private sector partners (Empowerment of beneficiaries to take ownership of the program, Promotion of more low-cost technologies and innovations)

Based on their findings USAID WA-WASH created recommendations which are summarized below.

The assumptions:

- USAID is present in Africa and working in communities to fight poverty
- Foreign aid is not benefiting the targeted populations, but creating aid dependency: citizen participation could be a remedy
- There are hidden agendas behind foreign aid programs in Africa

In Burkina Faso, USAID coordinates all its programs with the government of Burkina Faso as well as with other donors, mostly from the G7 member countries under the New Alliance for Nutrition and Food security. USAID’s goal is to build resilience of rural vulnerable populations by strengthening institutions and governmental bodies, improving their productive opportunities, and helping increase the capacity and accessibility of social services; for instance, with malaria prevention, while improving access to more nutritious foods.

Burkina Faso and some of its surrounding countries have experienced instability lately (terrorist attacks, political turmoil, etc.). USAID through its programs works for countries to increase peace and security. In that regard, they “support a myriad of activities in health, water and climate change operating under our regional and central programming.” They “place the highest priority on combatting malaria, since
Burkina Faso is among the ten countries in the world with the highest malaria disease burden.” Their “health team works to implement the country's national malaria control strategic plan and achieve objectives to significantly reduce malaria morbidity and mortality, particularly among children under five and pregnant women who are the most vulnerable.” They are also supportive of partnerships with civil society, particularly private businesses that are interested in building resilience.

The USAID West Africa Water Supply, Sanitation Hygiene Program (WA-WASH) is one of the USAID programs in Africa had a goal to increase sustainable access to safe water and sanitation and improve hygiene in West Africa. From 2011 to 2015, the program aimed to introduce innovative and low-cost water, sanitation technologies and to promote adequate hygienic behaviors through developing practical models of sustainable WASH service delivery. Also, program leaders planned on achieving their goal by facilitating cooperation and creating synergies between WA-WASH and other relevant USAID/West Africa programs and priorities in the region. This helped increase the capacity of national and regional institutions to replicate these approaches and models throughout the region and by facilitating knowledge sharing among the WA-WASH countries and beyond.

The program was designed to achieve the USAID/WA Assistance Objective by accomplishing four Intermediate Results (IRs) and a total of 13 Sub-Intermediate Results (see the figure below). The four intermediate results include the following:

- Increase community access to potable water and improved sanitation;
- Improved sustainability of WASH services;
- Increased income generation and food security outcomes of WASH investments and
- Strengthened national and regional enabling environment for integrated WASH.
As laid out, WA-WASH targeted three West African countries (Burkina Faso, Ghana and Niger) and the expectation was to contribute to improvements in WASH operational practices of local government and the private sector in the three countries, strengthen national and regional enabling environment, and increase capacity to achieve WASH Millennium Development Goals in West Africa. The goal was to
increase the number of people with access to improved water supply services for household and productive use, as well as increase access to improved sanitation services. The program also aimed at increasing the number of people adopting household point-of-use treatment methods/products. Other expected deliverables included the development, implementation and replication of new, low-cost, demand-driven and market-based approaches to WASH service delivery for rural and urban populations.

Results of findings

It is important to disclose that the key findings and conclusions are grounded on analysis of self-reported data, information retrieved from the evaluation of field observations, focus group discussions and local levels. These findings address points of successes and struggles of USAID WA-WASH program in the Niger, Ghana and Burkina Faso in consideration of the targets and outcomes agreed to in the Performance Monitoring Plan; the reasons why these targets were met or not met; suggestions as to programmatic changes that might be necessary; and identification of best practices and learning. Based on analysis of the country activities and the WA WASH project overall, to what extent, how, and at what level (local, country, regional, sector) has WA WASH facilitated access to improved water supply/sanitation services and improved hygiene behaviors?

As shown in table 1, the study collected information on access to improved water sources in the three countries. In all the countries, program implementers obtained positive responses from respondents concerning their access to improved water sources. Most respondents informed the evaluation team that their access to improved water source had increased remarkably because of the interventions. The main uses of water in these countries is for domestic and agricultural purposes, with limited use in industrial activities. In all the communities visited, the intervention had enabled residents to obtain good drinking water throughout the year. Water sources were primarily boreholes, hand-dug wells and dugouts. From Table 1 below, 32,383 people from Burkina Faso, 2,751 from Ghana and 12,370 from Niger have gained access to improved water supply services for household use because of USAID WA-WASH. Overall, 47,504 people in the program intervention areas have access to an improved drinking water source, representing 80% of Life of Project target (IN.02).

Also, 4,844 households (HH) have increased availability of water for other productive uses (or multiple uses) as compared to 5,326 households targeted, representing 91% of Life of Project target (IN.48).
Information from the Table 1 indicated that 32,383 people from Burkina Faso, 2,751 from Ghana and 12,370 from Niger have gained access to improved water supply services for household use because of USAID WA-WASH interventions as of September 2014.

But, respondents from the Focus Group Discussions indicated that although these water facilities have been provided, they were still inadequate to meet the water needs of many communities. As a result, women who are the primary users of these water facilities indicated that they have to spend between 15 to 30 minutes to fetch water (mostly at the peak of dry season).

Table 1 showing improved access to and quality of sustainable water supply services

<table>
<thead>
<tr>
<th>Indicators ID</th>
<th>Description</th>
<th>Burkina Faso</th>
<th>Ghana</th>
<th>Niger</th>
<th>TOTAL LOP Result</th>
<th>Accomplished (% of LOP targets)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>IRA: Increased community access to potable water and improved sanitation</td>
<td>32,383</td>
<td>2,751</td>
<td>12,370</td>
<td>59,700</td>
<td>47,504</td>
</tr>
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<td>IN.02</td>
<td>Number of people gaining access to an improved drinking water source</td>
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<td></td>
<td></td>
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</tr>
<tr>
<td>IN.48</td>
<td>Number of households with increased availability of water for multiple uses</td>
<td>1,396</td>
<td>313</td>
<td>3,135</td>
<td>5,326</td>
<td>4,844</td>
</tr>
</tbody>
</table>

(Source WA WASH PMP, September 2014)

To the question of to what extent has the program facilitated improved sanitation services, it is important to point out that the prime focus of the sanitation component of the USAID WAWASH program was on the promotion of construction and use of household latrines. Thus, the aim of the evaluators was to ascertain the extent of access to improved sanitation resulting from the intervention. Most communities visited in Ghana have moved from open defecation to building their own latrines while in Niger and Burkina Faso, donor-sponsored projects have helped to build latrines for all communities visited. As shown in Table 2, 842 people from Burkina Faso, 14,430 from Niger and 3,750 in Ghana have gained access to improved latrines as a result of WA-WASH interventions as of September 2014. Overall, 18,566 people in the program intervention areas have access to improved latrines, representing 98 percent of LOP target (IN.07). At the time of this evaluation, 25 communities in Niger and 18 in Ghana were targeted for community-led total sanitation (CLTS). However, despite the progress made by the program, open defecation remains a common practice in the countries surveyed. As displayed, progress
on eliminating open defecation is still a challenge; only 11 communities in Niger in the region of Zinder have been certified as open defecation free communities, which represents an achievement rate of 22%.

According to the results obtained from the Focus Group Discussions held in intervention communities in Ghana, access to safe and clean latrines was high since individual households within communities that have received technical assistance from the USAID WA-WASH implementing partners have put up their own latrines.

Table 2 showing improved access to and use of sustainable sanitation services

<table>
<thead>
<tr>
<th>Indicators ID</th>
<th>Description</th>
<th>Year 1 to Year 3 results</th>
<th>TOTAL LOP Result</th>
<th>Accomplished (% of LOP targets)</th>
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<tr>
<td></td>
<td></td>
<td>Burkina Faso Ghana Niger</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sub-IRA 2: Improved access to and use of sustainable sanitation services</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>IN.07</td>
<td>Number of people gaining access to an improved sanitation facility</td>
<td>842 3,750 14,430</td>
<td>18,956 18,566</td>
<td>98%</td>
</tr>
<tr>
<td>IN.05</td>
<td>Number of communities certified as “open defecation free” (ODF) as a result of USG assistance</td>
<td>0 0 11</td>
<td>49 11</td>
<td>22%</td>
</tr>
</tbody>
</table>

Source: WA-WASH PMP, September 2014

To the question of to what extent has the program facilitated improved hygiene behaviors, there are two dimensions to take into account: Sensitization on Hand Washing and Safe water handling/Treatment of water before drinking.

Across the three countries, it was observed that hygiene sensitization has been carried out in schools with the provision of hand washing facilities. The program promoted the use of soap for hand washing. However, a number of households visited by the evaluation team reported that they rarely replaced the soap used for washing of hands when it gets finished. USAID WA-WASH interventions targeted the need to change hygiene-related beliefs or practices in the communities while emphasizing the need for improved, safe water delivery and improved sanitation services as well (IR.A). The use of low-cost technology (tippy-taps) for hand washing and rope pumps for water delivery has led to widespread
acceptance of USAID WA-WASH interventions in the Communities visited. The linkage of cholera reduction to water treatment with Aquatabs has also resulted in greater acceptance. **Table 3** shows that 26 percent of communities in Ghana and 89 percent in Niger treated their water using the Aquatabs. Overall, 33% out of the targeted 54% women correctly use the Aquatab tablets, representing 61 percent of LOP target (IN.12). The progress is attributable to the appreciable information provided to the public via local radio, a network of marketing promoters, and by informing local village chiefs about the use of Aquatab for treatment of drinking water. In addition, the program used massive billboards advertising Aquatabs in a number of cities (especially in Niger) which were reported to be contributing factors. In general, communication about Aquatabs appears stronger at the local level. In addition, USAID WA-WASH had installed 3,774 hand washing stations in the three countries as of September 2014, resulting in 28 percent of usage against the result target of 24 percent (IN 09), thus exceeding LOP target (117%). The percentage of households with soap and water at a hand-washing stations commonly used by family members exceeded LOP target because of the appreciable awareness raised about good hygiene practices and widespread acceptance of low-cost tippy-taps for hand washing by all the communities visited by the evaluation team.

**Focus Group Discussions** findings indicate that community members understood why they need to wash hands frequently, including after defecating, before eating, after farm activities and changing of baby diapers. Respondents reported that they were educated through USAID WAWASH to adopt such hygienic practices. Moreover, most of the focus group participants in Boucle Du Mouhoun in Burkina Faso treat their water before drinking. In these regions, respondents who did not treat their water cited their inability to purchase the treatment tablet as the main reason for not treating water for drinking. They however indicated they use other methods (e.g. sieving and boiling) to treat their water before drinking.
Has WA-WASH integrated other development activities (food security, climate change and sustainable resource management) in a way that contributes to the achievement of the program results and effectiveness of the program? If so, what specific lessons can be replicated in similar programs and inform future USAID programming in applying integration as a strategic program design?

Concerning water conservation, food security and climate change, the communities visited by the evaluation team indicated that they received training on climate change and other agricultural practices in order to increase yield and income. As a means of ensuring food security, beneficiary communities were introduced to conservation farming technology by digging trenches to conserve water in the fields for farm work. About 4,509 farmers (see Table 5) in the three countries (representing 144% of LOP target. IN.53) have been introduced to climate smart agriculture, climate information utilization, market gardening and conservation agriculture (a package of resilient farming techniques) aimed at improving soil health through higher use of organic fertilizer and other catchment techniques to retain soil moisture and increase yield. USAID WA-WASH has helped to increase the adaptive capacities of both stakeholders and communities through training workshops. From Table 4, the targeted numbers of stakeholders (including local and national decision makers) who received training in climate vulnerability and capacity analysis (CVCA) and the community-based adaptation (CBA) tools and frameworks as a result of USAID WA-WASH were exceeded (IN.26). At the time of the evaluation, the number of stakeholders with increased capacity to adapt to the impacts of climate variability and change was 5,209, which exceeded the LOP target of 1,665. Thanks to the training workshops, the farmers in
these communities are able to properly schedule their farming activities to meet the weather and climate estimates. For instance, as we can see in Table 5, the number of farmers and others who have applied new technologies or management practices as a result of USAID WA-WASH assistance was 1,598 as against LOP of 1,009, thus exceeding LOP by 158 percent. In addition, the number of individuals receiving USAID WA-WASH supported short-term agricultural sector productivity or food security training has exceeded the LOP results of 3,137 by 44 percent.

In the Focus Group Discussions with women, they indicated that parcels of land have been demarcated in each community and fenced (with the support of the men) for the women to engage in dry season vegetable gardening. The women further said they actively participated in the water management committees with at least 30 percent representations on the committees. Additionally, keeping the surroundings around the water points clean was the responsibility of the women selected as committee members. These women lead other women in the communities to maintain the environment around the water source points.

Table 4 showing increased local and national capacity to adapt to water-related climate change

<table>
<thead>
<tr>
<th>Indicators ID</th>
<th>Description</th>
<th>Year 1 to Year 3 results</th>
<th>TOTAL LoP Result</th>
<th>Accomplished (% of LoP targets)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Burkina Faso Ghana Niger</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sub-IRC 2: Increased local and national capacity to adapt to water-related climate change</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>IN.26</td>
<td>Number of people receiving training in global climate change as a result of USG assistance</td>
<td>636 610 704 671 1,950 291%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>IN.27</td>
<td>Number of stakeholders with increased capacity to adapt to the impacts of climate variability and change as a result of USG assistance</td>
<td>2,153 1,243 1,813 1,665 5,209 313%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>IN.28</td>
<td>Number of climate vulnerability assessments conducted as a result of USG assistance</td>
<td>9 10 8 25 27 108%</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Source: USAID WA-WASH PMP, September 2014
Table 5 showing Adoption of complementary agricultural technologies and practices in WASH

<table>
<thead>
<tr>
<th>Indicators ID</th>
<th>Description</th>
<th>Burkina Faso</th>
<th>Ghana</th>
<th>Niger</th>
<th>TOTAL LOP Result</th>
<th>Accomplished (% of LOP targets)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Sub-IRC 1: Adoption of complementary agricultural technologies and practices in WASH programs</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>IN.52.</td>
<td>Number of farmers and others who have applied new technologies or management practices as a result of USG assistance ⁹</td>
<td>1,018</td>
<td>418</td>
<td>162</td>
<td>1,009</td>
<td>1,598</td>
</tr>
<tr>
<td>IN.53.</td>
<td>Number of individuals who have received USG supported short-term agricultural sector productivity or food security training ⁹</td>
<td>2,876</td>
<td>535</td>
<td>1,098</td>
<td>3,137</td>
<td>4,509</td>
</tr>
</tbody>
</table>

Source: USAID WA-WASH PMP, September 2014

To show how knowledge management has improved because of WA-WASH, it is important to mention that USAID WA-WASH had built the capacities of 171 stakeholders and NGOs and trained 1,726 stakeholders in WASH practices. (See IN 18 and IN 35 Table 6). These workshops brought together the different stakeholders supporting water services (NGOs, government WASH programs, etc.) to create a common understanding of the issues and provide solutions.
Table 6 showing strengthening national and regional organizations in integrated WASH

<table>
<thead>
<tr>
<th>Indicators ID</th>
<th>Description</th>
<th>Year 1 to Year 3 results</th>
<th>TOTAL LOP Result</th>
<th>Accomplished (% of LOP targets)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Burkina Faso</td>
<td>Ghana</td>
<td>Niger</td>
</tr>
<tr>
<td>IN.18</td>
<td>Number of NGO/local/national/regional governments that benefit from capacity building interventions</td>
<td>141</td>
<td>18</td>
<td>12</td>
</tr>
<tr>
<td>IN.35</td>
<td>Number of people receiving training in WASH as a result of USG assistance</td>
<td>686</td>
<td>671</td>
<td>369</td>
</tr>
<tr>
<td>IN.44</td>
<td>Number of successfully implemented action plans developed and revised by partnership practitioners</td>
<td>0</td>
<td>0</td>
<td>23</td>
</tr>
</tbody>
</table>

Sub-IRD 1: Strengthened national and regional organizations in integrated WASH

Sub-IRD 2: Increase national and regional integrated WASH knowledge management and networking

Source: USAID WA-WASH PMP, September 2014

Based on all the above information, here is a logic model. The question is: how can USAID through WA-WASH strengthen resilience and sustainable access to water supply and sanitation in Burkina Faso, Ghana, and Niger?
This logic model aims at improving the targeted communities’ resiliency and self-sufficiency, which for donor countries, is more beneficial than helping the communities in ways that increase aid dependency. In addition, USAID would gain by strengthening its partnership with existing water resource organization.

**Discussions**

We noticed a slight gap between what the data gathered from surveys revealed and what the focus group discussions brought up leading to explanations or excuses from the evaluation team. As we learned, focus group discussions are known to be a powerful tool if they are properly designed and conducted. In a perfect setting, the focus group discussions would reveal more accurate information than the simple surveys. In that case, based on what the focus group revealed we can imply that although the targeted populations received the water facilities they had been provided, their suffering persisted. The facilities seemed to be inadequate to meet the water needs of many communities. As reported, women who are...
the primary users of these water facilities must spend between 15 to 30 minutes to fetch water (mostly at the peak of dry season).

The number of NGOs involved in the program’s implementation could be a bit concerning – there are too many for a program of this size. This could lead an observer to ascertain that the program would hardly bring the communities to self-sufficiency. In the literature, some arguments might make believe that other agendas could be at play.

As we know, after the 9/11 event, the US government changed its foreign policies in its fight against terrorism. On September 20, 2001, in a speech before a joint session of Congress, President Bush changed the direction of American foreign policy stating that "we will direct every resource at our command -- every means of diplomacy, every tool of intelligence, every instrument of law enforcement, every financial influence, and every necessary weapon of war -- to the destruction and to the defeat of the global terror network."

“What the development economist William Easterly had called "the dirty secret" of the international aid system – the nonchalance of donors in the face of government repression in recipient countries – is now (nearly) front page news. To be sure, US aid in Egypt has gone to fund programs focused on health, education and trade, but the vast majority of the multibillion-dollar US aid package to Egypt has been spent on military and domestic security initiatives. Whether intentional or not, foreign aid to Mubarak's regime is widely seen to have strengthened the government's ability to confront popular movements.”

Foreign aid has really set African countries apart and made them unique in the world, showing the failure or the incapacity of African government to provide for their people. For Julie Hearn (1998), one result of Africa's marginalization in the world economy is the peculiarly important role that aid plays in the continent. The author goes on by stating that aid policy, itself, is dominated by what has been described as the New Policy Agenda of neo-liberalism and liberal democratic theory, which assigns NGOs a key role.

The Kenyan’s case seems to be an interesting one that attracted Julie Hearn’s attention. She shows how one influential donor in Kenya, USAID, has funded and promoted NGOs in the health sector, notably mission hospitals, and notes how this should be part of the core mission of the government – not an NGO. Due to the failure of the government, NGO’s funded by USAID had to step in. Their results were so impressive that they have been integrated into the national healthcare structure. What could be the long-term consequences of such a donor-sponsored ‘NGO-isation’ of different spheres of African
The concept of 'NGO-isation' does not only show “the describing the proliferation of NGOs, but the western sponsorship of private voluntary organizations in order for them to play an increasingly pivotal role in the economic, social and political life of the country. These private organizations include both western aid agencies and indigenous or Southern organizations.” Julie Hearn (1998). The NGO’s almost took control by performing what should be expected from the government. Economically, “NGOs are market-based actors because they are able to deliver social welfare services to poor people at lower cost and higher standards of quality than government. In Kenya, in the health care system, USAID supported health sector policy reforms, which have had an impact on the reallocation of financial resources from curative care to preventive/primary health services. We now turn to whom these private providers of health care are, on whom the onus of providing curative services will fall.” (Julie Hearn, 1998)

By examining the Kenya’s case, we have learned that the role of one donor in the restructuring of one of Kenya's social services has been very important. It has intervened at the policy level as well as given substantial aid to one of the non-governmental health care providers. “The reform process is not however based on the principle of sustainability but on the determinants of the New Policy Agenda, and USAID are not creating a more sustainable health service but an externally oriented and highly dependent one. Thus, the policy is fundamentally flawed as a long-term national strategy.” (Julie Hearn, 1998)

“The voluntary sector that is being promoted in African countries is a financially highly dependent one. A survey undertaken by Fowler indicates that the vast majority of NGOs in Kenya rely on foreign aid for more than ninety per cent of their funds (1995:61). This raises questions of the extent to which recipients of aid can be equal partners with donors in setting agendas.

As the Kenyan author of a recent study on civil society, institution in Kenya writes: “the formation of the democracy sector of civil society was the result of a partnership between the donors and local actors. However, this partnership can be categorized as one between a senior and junior partner with the donor as the senior and the democracy actors as the juniors... The result of this has been the increasing dominance of the donor in the operations of civil society and the emergence of the donor as the 'alternative state.’”(Ngunyi, 1996:5)

To remedy the raising dependency to foreign aid and the passiveness of the beneficiaries, citizen participation seemed to be the way to go. Participation goes with sustainability as well empowerment. The concept of participation has gained in popularity to the point that “No respectable project cannot use
this ‘in’ word now, nor can it get funded without some provision for the participation of the people” (White et al., 1994, p. 16).

For Victoria J. Michener (1998), participation is a powerful concept with a strong appeal, but it suffers from some ambiguities due certainly to its complexity. Through the presentation of several frameworks and a case study, Victoria J. Michener addresses the complexities of the concept and reveals the conflicting uses of participation by different stakeholders taking part in the same project, implementing difficulties and challenges to the approach. Participation is noble in the way that it promises ambitious outcomes such as leading to projects success, empowering poor people with a focus on financial and administrative efficiency. The ultimate goal of citizen participation is to reach self-reliance at some point.

Victoria J. Michener’s analysis of participation in a community development project refers to the labels and dimensions discussed in the typologies including people-centered and planner-centered outcomes of participation. For the case study, the unit of analysis is community school. The author through the case study analyzes the use of participation by three stakeholders in a non-formal project located in Burkina Faso.

**Conclusion**

Based on information collected from interviews and focus group discussions, we must recognize that USAID through the WA-WASH program responded to a significant need of the communities in the areas of intervention (Burkina Faso, Ghana and Niger). Knowing the situation in which these dry ecological zones were in before the program’s intervention, we should recognize that needs were being addressed, albeit not as effectively as hoped. The use of low-cost technology and the rehabilitation of existing wells for water delivery led to the program’s acceptance. As seen from the results, WA-WASH helped to raise some awareness and helped a significant number of people to have access to a safe water supply and improved sanitation. The program also integrated other development activities such as food security and climate change awareness techniques. However, the results showed some discrepancies between what was reported in interviews or surveys data and what the focus group discussions revealed. It is obvious that WA-WASH intervened mostly in these remote communities, but their intervention did not completely stop the targeted communities’ suffering as the survey data shows. Also, the high number of NGOs involved may raise some concerns about the true intent of the program and its real desire to help with the foreign aid dependency issue or perhaps the existence of a hidden agenda behind USAID
interventions in poor countries in general and West Africa in particular. The question that the heavy presence of NGOs what true purpose do they serve?

African countries should grow and understand that it is their responsibility to take care of their people, not outside organizations. If aid is provided, it should have the goals of helping countries and communities to be self-sufficient. African countries would be better off walking away from foreign aid that creates dependency.

Concerning USAID WA WASH program, it is important to wrap up with suggestions of recommendations from their findings:

- USAID WA-WASH should forge partnerships with regional entities in water, sanitation and hygiene
- USAID WA-WASH should continue to strengthen the linkages with the government Ministries and agencies in charge of water and sanitation in the three WA-WASH countries in order to capitalize on the success of the program and attempt to expand the program geographically.
- Strengthening participatory planning for integrated WA-WASH, which implies that all stakeholders come together to make informed decisions about service provision options, including infrastructure, costs, service levels and institutional arrangements, and where every stakeholder is empowered to put forward views and choices. This would favor self-sufficiency at the end.

The real concern should be: what do the African leaders and citizens need to do to develop their continent and countries? What do they need to do for Africa to walk away from begging, and receiving foreign aid and handouts? It is obvious that as the current president of Ghana has once mention; African countries can no longer continue to make policies based on whatever support the western world can give them. It has never worked and it will never work. The African leaders and citizens’ responsibility is to chart a path, which is about how to develop their continent themselves. It does seem right for African countries sixty years after independence to still have their basic needs, health and education budget being financed based on generosity and charity of foreign citizens taxpayers.

It is all about developing the proper mindset and that it what is lacking for Africa to be able to stand by on its own feet. As known, Africa has the youngest population in the world that it need to put to work. Africa a huge amount of natural resources, and very fertile land not used the way it should be. Africa
need to put promote a system that allows for accountability and diversity as well as a system that allows people to express themselves and contribute. It is all about the proper mindset.

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Foreign aid and rent-seeking


Jakob Svensson


http://www.oecd.org/dac/stats/agriculture-relatedaiddataataglance.htm

Appendix H: Internship Assignment#2/Core Audits Effectiveness

Cover Sheet

Title/Label of Evidence: Professional Development Internship with the University of Vermont Custodial Service: Contribution to frontline supervisors’ empowerment.

MPA Competencies Addressed:

3- Analyze, synthesize, think critically, solve problems and make decisions

3a Capacity to employ quantitative and qualitative research methods for program evaluation and action research

3c Capacity to apply sound performance measurement & management practices

4- Public Service Perspective

4d Capacity to achieve cooperation through participatory practices

5- Communicate and interact with a diverse and changing workforce and citizenry

5a Capacity to undertake high quality oral, written and electronically mediated communication

5b Capacity to appreciate the value of pluralism, multiculturalism & cultural diversity

Self-Assessment: 3

Instructor’s Assessment:

Evidence:

Analysis & Recommendations from Focus Group Discussions with Frontline Supervisors
Rationale Statement:

During my internship, I had the opportunity to take the course *PA302 Organizational Theory and Behavior*. The major project for this course consisted of each student choosing an organization to assess using the McKinsey Capacity Assessment grid. For my project, I picked UVM Custodial Services Department. Over the course of 2019 Spring Semester, I completed different components of UVM Custodial Services capacity assessment using a selection of sixteen categories of the McKinsey Capacity Assessment Grid. It allowed me to have a deeper knowledge of the Department at many levels. It helped me have an opinion on where the Department stands as an organization, and gave me an overview about its areas that need improvement for the Department to be a better performing organization.

Many aspects of my organizational assessment project provided me with interesting findings that I am exploiting as resources for my internship project. The topic of my internship is related to UVM Custodial Services frontline supervisors’ empowerment. I thought it was wise before suggesting any effective contribution to frontline supervisors’ empowerment, to educate myself on the existing procedures and their effectiveness on frontline supervisors’ empowerment. At many levels, the organizational assessment reveals things that influence frontline supervisors’ empowerment.

An important link I can draw from *PA302* is through the question; is the UVM Custodial Services senior leadership task oriented (Theory X) or people oriented (Theory Y)? The point of asking such a question is to find out if the system in place in the organizations empowers frontline supervisors. McGregor argues in his article, “*The Human Side of Enterprise,*” in Shafritz & Hyde, that, “Another way of saying this is that Theory X places exclusive reliance upon external control of human behavior, while Theory Y relies heavily on self-control and self-direction.” (p. 175)

Among other relevant takeaways from *PA 302* that I can link to the subject of my internship, is the sources of power. As we learned, Moss Kanter’s theory states that power derives from/through access to resources (money, people & physical assets), access to information (intelligence, data) and access to support(inform/influence decision-makers/ makers). She argues that power accrues around the ability to get cooperation in doing what is necessary (Moss Kanter 2011, p.320). Trying to explore the reality of power that UVM Custodial frontline supervisors have through access to resources, information and power, was an interesting learning experience. It is obvious that empowering supervisor implies that senior management ensures that the frontline supervisors have access to qualitative resources such as equipment and supplies. It also means that they have access to qualitative and useful information such the proper training session on soft and hard skills. It finally means that they feel trust and supported.
The other takeaway from *PA 302* and relevant to the topic of my internship, is the seven key leadership tasks, which are: monitor and assess work, operation planning, clarifying roles and objectives, informing, delegating, problem solving and finally managing technical innovation and creativity. I used these key leadership tasks as a framework to design a questionnaire for focus group discussions for my internship with Custodial Services frontline supervisors. Since it is established that leaders are not born, but made, it is difficult to aspire to be great leaders without an understanding of what leaders do. To emphasize this, Van Wart’s article, *Dynamics of Leadership in Public Service*, states, “The study of leadership is woefully incomplete without an examination of the discrete types of actions that leaders practice” (Van Wart, 2005, P.157).

One of the major takeaways from my organizational assessment project and relevant to my internship project is UVM Custodial Services workforce diversity. I wonder where the department as an organization is located on the continuum of cultural competency. It does not seem to me that UVM custodial services workforce diversity is fully apprehended as an asset. Based on the theory of the “Wisdom of the crowds”, workforce diversity should be an asset because “collections of agents outperform individuals partially because people see and think about the problems differently.” In the same vain, I learned that “High-performing teams are both cognitively and demographically diverse.” (Bourke and Dillon, 2018, p. 84). If UVM custodial services teams are not seen as high performing by their customers, then work needs to be done by the leadership team including the frontline supervisors to fully take advantage of the diversity of the teams. This might mean more transparency and more involvement of frontline staff in the decision making process. Based on the 2018 customer service survey, the external consultants report and my personal experience, reflecting on the Continuum of Cultural Competency, I place UVM custodial services is between “Cultural Pre-competence” (explore cultural issues, are committed, assess needs of organization and individuals) and “Cultural Competence” (recognize individual and cultural differences, seek advice from groups, hire cultural unbiased staff). The department as an organization needs to work more to address the insufficient cultural competency because the more culturally competent custodial services teams will be, the higher performing they will become, and the better they will satisfy their customers.

**Major findings from focus group discussions with frontline supervisors**

After conducting focus group discussions with high performer custodial frontline staff, hearing from the frontline supervisors appeared necessary. The goal was to hear their challenges as leaders when
performing their tasks of clarifying roles and objectives, delegating, informing, operation planning, monitoring and assessing work, problem solving and finally managing technical innovation and creativity. The other goal was to hear about their access of power through access of resources, access of information and access of support. The ultimate goal was to locate any issue preventing frontline supervisors’ empowerment and figure out ways to overcome whatever challenges the frontline supervisors are facing.

Regarding clarifying roles and objectives, the UVM Custodial frontline supervisors see themselves as coaches or leaders providing instructions, training and supplies to their team members to allow them to perform their daily tasks. They are realizing their role is changing increasing administrative tasks, which tends to lower their field time with staff. For instance, they were asked to inventory and order supplies, and they were even asked to test expired cleaning chemicals or remove dead animals. They feel like they do not have a precise job description with a large scope of work. They reported that their subordinates understand and know their job description, but some are just not dedicated to the tasks certainly because of the lack of work rule enforcement by the senior leadership and the heavy weight of the Union on management (the fear of grievances, fear to confront the Union). For them, some staff members “play games” knowing that supervisors are powerless. Frontline supervisors almost have to beg the custodians to perform their tasks.

In regards to delegating, frontline supervisors responded that it is really based on trust and it varies from one team to the other. The delegation is encouraged for team leads and Level 2 custodians, but is hard to implement. The team leads are the immediate assistants of the supervisors, but the constant staff shortages do not give the opportunity to the leads to play fully their role because they are always covering for the absentees. Consequently, such a situation allows a limited amount of time dedicated to train the team leader to successfully carry out a delegation. With the staff shortage, the team leaders become like other custodians instead of performing basic training to the other custodians.

In general, when asked about informing the supervisors agreed that they feel well informed and think most work related information is shared with staff and feedback well received. However, in few instances such as updates about staff work restrictions often dealt with at the main office level, they mentioned a lack of information.

In regards to operations planning, we laid out three criteria of appreciation: quality, safety and time demands. When asked about operations planning, the frontline supervisors replied about quality that it means completing all tasks and be able to feel proud of the work done and make the customers happy.
Some defined quality as work well done the first time. About time demands, the frontline supervisors find them stressed in some instances such as snow (where the priority is clearing snow) and days of staff shortage where workers are asked to prioritize work. Doing so requires a selection of tasks according to their importance, which negatively affects the quality cleanliness of the entire facility to be cleaned. For instance, some facilities have an impressive numbers of classrooms to get ready most of the time before 8am, which is hardly achievable on busy days. In general, they agreed that time demands affect work quality and may even raise some safety concerns. The frontline supervisors also mentioned that some staff wasting time before starting the actual work worsen the effects of time demands on quality work.

About operations planning and safety, the concerns are related to staff finding some buildings unlocked when they arrive at the beginning of the morning shift. The staff members are also concerned about some unknown customers asking them to open doors for them. This puts them in a situation of dilemma between safety and customer service. Refusing to open the door may be seen as a bad customer service whereas opening the door may amount to a safety issue.

Regarding monitoring and assessing work, the frontline supervisors said that they think that the best workers will do their best job when they feel their work is appreciated and when they feel respected. They added that being in a union environment limit their monitoring ability. In many cases, when the supervisors check on staff’s work, they feel frustrated and untrusted.

To the question about access to resources and support, the frontline supervisors almost unanimously responded that they have the right supplies, equipment and training. They also mentioned that the soft skill training sessions that they started a few months ago are helpful. The frontline supervisors would like to see more support from the senior leadership. They need to set the tone, enforce the work rules and make it clear to the frontline staff that being members of the union and being high performer employees are not exclusive. In other words, one can be a union employee and still be a high performer employee guided by the Department’s Our Common Ground Values, which are Integrity, Commitment, Accountability, Respect and Excellence.

Throughout their answers, the frontline supervisors kept bringing up concerns about the Core audits. As mentioned during the focus groups discussions with high performer custodians, the supervisors also reported that the inspection tool used is very systematized for all staff and all areas and does not take into account the specificity of each building inspected. This hardly gives an understanding of how staff are performing or how buildings are going to be kept cleaned. In addition, they think that it would be great if the Core audit could be performed entirely by a third party without getting the supervisors’
involvement for more impartiality. They will still be conducting the weekly inspections and following up with the frontline staff to address the deficiencies.

**Analysis and recommendations**

From the findings, we can see that UVM frontline supervisors have a very limited margin of maneuver. We can assert that the frontline supervisors do not struggle much with some of their tasks such as clarifying roles/ objectives and planning and others. However, it is certain that they feel more challenged with delegating, monitoring and assessing work. Most importantly, even though there have been at lot of improvement lately, the frontline supervisors seem to be not fully trusted and not fully supported by the senior leadership. Besides, the fear of the Union has led to an over protection of the frontline staff to the detriment of the work rules and procedures that are hardly enforced, which leaves the supervisors powerless. As we know, a rule that is not enforced or enforceable will not be effective.

Based on the focus group discussions, I suggest the following recommendations to set the stage for frontline supervisors’ empowerment:

- Setting the tone by redefining UVM Custodial Services Department’s organizational culture, which promote the Department’s Common Ground values (Integrity, Commitment, Accountability, Respect and Excellence) and clearly state who we are as an organization. Are we task-oriented or people-oriented?

- Addressing the lack of sufficient cultural competency within the entire Department including the senior leadership team.

- Addressing the lack of emotional intelligence within the entire Department including the senior leadership team. Emotional intelligence is defined as the capacity to be aware of, control, and express one's emotions, and to handle interpersonal relationships judiciously and empathetically. It is seen, as is the key to both personal and professional success (Google).

- Designing a cleaning schedule for regular days (full staffed) and a backup schedule for days of staff shortage.
• The frontline supervisors need to know their team members and develop with each them a professional relationship accordingly (Myers Briggs could be an option to explore).

• Put in place a system that helps frontline supervisor to list the people of contact of the buildings that they are in charge of and build a productive relationship with them. The frontline supervisor need to keep the customers informed about the regular cleaning schedule as well project schedule

• Define an onboarding process for frontline supervisors as well as frontline staff

• As part of the onboarding process, initiate an indoctrination program for frontline supervisors along with UVM new employee orientation for an effective frontline supervisor onboarding (the indoctrination program should be customer service-oriented).

• As part of the onboarding process, initiate an indoctrination program for frontline staff along with UVM new employee orientation for an effective frontline staff onboarding (the indoctrination program should be customer service-oriented).

• Formally introduce new supervisors to the customers (managers responsibility)

• Train frontline supervisors on training, coaching and mentoring frontline staff

• Re-initiate “the train-the-trainer” (TTT) program for frontline supervisors. TTT is an education model whereby individuals identified to teach, mentor or train others attend training themselves (Google).

• Encourage supervisor to exercise more mindfulness and always give feedback (positive or negative). The tip is to treat staff, as we would like to be treated (respect).

• It is important that frontline supervisors revisit frontline staff members job or position description with them if needed
• It is very important that frontline supervisors thoroughly document any performance or behavioral issue encountered with staff.

• Train, coach, mentor and sponsor but hold employees accountable through the implementation and the enforcement of the work rules and procedures in place.

• Frontline supervisors need to demystify the Union by studying, mastering and applying the terms of the UE contract in good faith, as it was negotiated.

• Reward supervisory zones who exemplify the qualities of the Department’s Common Ground’s award (Integrity, Commitment, Accountability, Respect and Excellence)

• Reward the staff members who exemplify the qualities of the Department’s Common Ground’s award (Integrity, Commitment, Accountability, Respect and Excellence) and nominate them for The University President’s Our Common Ground Staff Award.

Links MPA competencies covered

Competency 3a- Capacity to employ quantitative and qualitative research methods for program evaluation and action research.

The effort of conducting productive focus groups discussions with the frontline supervisors and the ability of analyzing the findings and suggesting recommendations that could inspire the senior leadership to take action have exposed me to competency 3a.

Competency 3c- Capacity to apply sound performance measurement & management practices.

The exploration of the smart inspection tool as well as the 2018 Customer Service survey as performance measurement tools while working on the Mc Kinsey capacity assessment grid have exposed me to competency 3c.

Competency 4d- Capacity to achieve cooperation through participatory practices.
The organization of the focus group discussions with the assistance of my colleague frontline supervisors who helped with the selection of the teams as well as reaching out to the participants, the actual discussion whether by convening the participants in the room or by note taking, exposed me to competency 4d.

**Competency 5a- Capacity to undertake high quality oral, written and electronically mediated communication.**

Before conducting each of the three focus group discussions I referred to when writing my assignments, I did a speech introductory speech to explain the reasoning behind the focus discussions and to encourage the participants to engage freely. I also sent out the survey of the selection of fifteen categories of the Mc Kinsey capacity assessment grid to the UVM Custodial Services senior leadership team with a written note explaining the process. Either the speech withy focus groups or the script preceding the survey exposed me to competency 5a. The internship has allowed me to communicate and interact more with diverse groups of employees beyond my supervisory zone.

**Competency 5b- Capacity to appreciate the value of pluralism, multiculturalism and cultural diversity**

Working as a frontline supervisor for more than six years and doing my internship in place in UVM Custodial Services Department, which employs about two hundred people from very diverse backgrounds coming from more than twenty different countries and speaking about eighteen native languages. It has exposed me to competency 5b. Besides, the focus groups were very diverse at many levels (country of origin, length of service, cultural background, and intellectual level).

**Resources and Evidence**

- Focus group discussions conducted on 5/16/2019 with Custodial Services Department frontline supervisors
- Selection of fifteen categories of Mc Kinsey Capacity Assessment Grid applied to UVM Custodial Services
Appendix I: Core Audit/Facilities bi-weekly inspections (Data and Improvement plan)
Improvement Plan

Audit Date: February 3-10, 2020

Building(s): Ira Allen, Billings, 184, 322, 460 South Prospect, Alumni House, Grass Mount, Rubenstein Center

Overall Score: 91.4%

Areas of Success:
Lobby areas, Kitchenette, Reception areas, medium restrooms

Areas for Improvement:
Entryways, Offices, Corridors, Elevators, Window sills

Specific Improvements Required:

Offices: cobwebs, dust on baseboards, dust, soil and debris on furniture
Corridors: dust bunny and soil on furniture and baseboards
Window sills and door frames in general: build up on door frame
Elevators: debris in elevators’ tracks, buildup on the edges, fingerprints on walls

Assigned: February 3-10, 2020

To: Reuf, Zlatan, Danna, Marsang, James, Gjergji

Completed/
Verified: February 12, 2020

Supervisor: Issouf Ouattara
Appendix J: Team- Based Policy Analysis Project on Vermont Legislative Committees

PA 306 Team- Based Policy Analysis Project

Team 3: Scott Goodwin and Issouf Ouattara

Part B: Vermont State Legislature

Due date: 4/12/2018

Our team choose to observe the senate committee on education with interest in the following bills:

- Bill H.504 - An act relating to career technical education, special education, and education weightings,
- Bill H.897 - An act relating to enhancing the effectiveness, availability, and equity of services provided to students who require additional support,
- Bill S.279 - An act relating to radon testing in schools
- Bill S.46 - An act relating to reducing Education Fund costs for fiscal year 2018.

The senate committee is composed of six state senators; Senator Philip Baruth the Chair, Senator Becca Balint the Vice Chair, Senator Joe Benning, Senator Christopher Bray, Senator Debbie Ingram the Clerk and Senator Carolyn Whitney Branagan.

We attended one of the senate committee meetings that discussed Bill H.504. Four witnesses; James DesMarais, a Legislative Counsel of the Office of Legislative Council, Emily Byrne the Chief Financial Officer of the Vermont Agency of Education, Karin Edwards the Director for Integrated Support for Learning of Pre-K-Grade 8 of the Vermont Agency of Education, and Nicole Mace the Executive Director of the Vermont School Boards Association, attended as well.

While discussing Bill S.279, witnesses Sarah Buxton, the Director of Workforce Policy and Performance for the Vermont Department of Labor, Lisa Durocher the Assistant Director for Adult Education of the Northwest Technical Center, and Sherry Lussier the Director of the Green Mountain Technology and Career Center all testified and made their recommendations on the state Workforce Development; Career
Technical Education. The continuity of the Act 46 was also discussed by witnesses Donna Russo-Savage, the Principal Assistant for School Governance of the Vermont Agency of Education and Brad James the Education Finance Manager for the Vermont Agency of Education.

Over one hundred and fifty witnesses are involved in the some of the policy processes. The witnesses are from different backgrounds, form individuals to organizations or institutions. It led to pick the Advocacy Coalition Framework for our analysis. As we learned, this framework focuses on the interaction of advocacy coalitions, each consisting of actors from a variety of institutions who share a set of policy beliefs, within a policy subsystem. The discussions during the meeting raised several concerns and most of the senators were actively listening to the witnesses.

**H.504 - An act relating to career technical education, special education, and education weightings**

This bill proposes to create a grant program providing $100,000 grants to 16 regions for development of Career Technical Education programming for students in grade 7. It also proposes to move $1.6 million from special education funds to fund this grant project and create a summer study committee to examine the weighted long-term membership of school districts. The bill is currently at the House Committee on Appropriation as of 3/21/2017.

We believe the committee likes the concept of this bill and the overall intention. However, the bill was recently drafted and is still very fresh. Therefore, the senators on the committee think it still needs a lot of work, as it is very scattered. Braxton one of the main drafters of the bill said, “The bill is very scattered because there are different departments that are asking for different aspects.” She was referring to Vermont Department of Labor (VDOL) and Vermont Department of Education (VDOE) and how they each added their own lines to the bill. This bill is unique in the sense that VDOL is asking VDOE to teach technical education earlier to students. Funding for technical education is also unclear for technical schools because some of the funding comes from state education and some comes from local business and the labor sector. Senator Bray even asked Lisa Durocher where technical schools get their funding since they are their own association.

It seems like the senators are still in the learning process of technical education, so it is great that they are getting feedback from technical schools, VDOL and VDOE so early. The bill was drafted as a coalition between the two departments and the committee is still using the advocacy coalition framework to amend the bill. Like any advocacy coalition, the process is going to take some time and the bill still...
needs a lot of work and therefor time to be finalized. However, the bill originated because of an opportunity for a federal grant, so an opportunity cost could be lost if the bill is not passed before the start of the grant. Fortunately, all stakeholders seem to agree on the good intention of the bill and its positive impact if it is ever implemented. They are only concerned with the language. They should be able to work together and compromise on any potential qualms.

However, Senator Branagar seemed to have a problem with the bill as she said “It’s been a while since I’ve been in a classroom, but I remember 7th graders wanting to do thing, they don’t want to sit in the classroom and be still they want to be active. If they want to be a plumber or a painter or whatever, they want to be active or at least following someone around. If we are really going to have meaningful and something to sink in there needs to be decisions for what they are going to get out of this. It needs to be more serious about activities and experiences the kids can really dive into.” This quote is troubling because Braxton explained that the bill is oriented to reflect a recent study. A study that VDOL, VDOE and the two technical schools agreed with. She thought that she knew more about 7th graders because she was one, many years ago. If senator Branagar justification reflects other senators then this bill could struggle to pass, as no one else on the committee seemed to agree with her about this. Perhaps applying the Institutional Analysis and Development framework to help better explain the study and other findings to Senator Branagar would help her understand the reasoning for the solution.

Senator Bray asked, “Since we are creating from scratch where is the existing legislature coming from, to create current career program areas? Is this modeled on existing program elsewhere?” Braxton responded with, “We’re trying to create a system that’s in common vernacular. No, this program is not modeled elsewhere, in part all other states are struggling to do the same thing at the same time. Colorado has really taken the lead for pathway development, they have done some good work but they are different from us. Senator Bray was in a way seeing if the committee could use the Innovation and Diffusion Model. Since the system is new and unfamiliar, we liked how Senator Bray asked this question. We also liked that Braxton was aware enough to realize that Vermont is different from other states so simply diffusing Colorado’s language would not work for this bill.

H.897 - An act relating to enhancing the effectiveness, availability, and equity of services provided to students who require additional support

It is also called the Special Education Funding Bill H.897. This bill proposes to enhance the effectiveness, availability, and equity of services provided to all students who require additional support
in Vermont’s school districts, including students receiving special education services and students who need additional support but do not receive special education services. This bill passed the House on 3/22/2018. It is on the Senate floor, and assigned to the Senate Committee on Education. The first reading occurred on 3/27/2018.

Since the bill was first assigned to the committee a week before this hearing, the committee is still figuring out the logistics of the bill. It was hard to gauge what the committee thought about the bill because the hearing was very technical, and the committee was simply trying to obtain more information during this hearing. However, all the witnesses/stakeholders that would be affected by this bill seemed to be in favor of it. Karin Edwards said, “I’ve been around for several attempts for changing funding formulas for special education and they haven’t worked, and this is the first time there’s really been both sides of it.” Both sides being changes to the funding and policy, as you cannot just change the funding and assume the policy will shift similarly. Nicole Mace said she liked the bill, but she had also heard complaints about the bill. Being the Executive Director of Vermont School Boards Association, she acts as a representative for school workers. Mace brought up the fact that similar changes did not go over well because folks on the ground (from principals to special educators) did not communicate their problems and they created resistance. She argued that the changes were good, but she simply wanted folks on the ground to be better educated about the changes, so they could better understand the reasoning for the changes. She thought if their voice was heard before the bill was passed, there would be less resistance once the bill is implemented. Mace is using advocacy coalition framework in this example very well. She knows that the changes are good, and she knows that the people she is speaking up for would agree with the changes. However, she knows that if they are included they will be forced to hear the reasoning of the bill and therefore be more likely to agree with them.

Emily Byrne voiced two concerns she had with the bill. She said, “We need to track all the expenditures with this bill. The 30 percent language that was included, we do not think that that is appropriate; it may send the wrong message. As 30 percent must be spent that sets a threshold that may be interpreted incorrectly that only 30 percent can be spent.” The committee agreed with her and was thankful that she brought this up; as it was something, they would not have flagged without her. She also said, “The first dollar language makes us track every penny spent which would create a lot of administrative work for us.” We believe that this concern was not understood as well as her last concern. As senator Baruth questioned her on the congruently of her concerns, he questioned her twice before moving past it. We
suspect that senator Baruth could not justify her reasoning for the concern. We suspected and perhaps
the senator thought the reasoning had more to do with her and her staff having to do more work and less
to do with this statement weakening the bill. If this was the case, we liked how Senator Baruth at least
heard her concerns and gave her a chance to justify why this statement would hurt the bill from being
passed and being less effective.

Byrne and Edwards talked about a University of Vermont report that estimated the percent total actual
cost change of Supervisory Unions of this bill. Using this report, they talked about ways to bring outlier
supervisory unions that would have significant impacts to their budgets closer to the other unions.
Senator Baruth assumed that high poverty districts had bigger spending on IEDA; however, the report
did not reflect this. The report reflects a Complex Systems Framework and because of the report, the
committee has the opportunity to adjust the bill so it positively affects the outlying districts that would
have received a significant budget increase. It also gave the committee analytical reasoning for each of
these districts rather than just assumptions which they would have used. Mace said, “I liked how the
UVM report included different data and models from different states and that’s very useful, but I think
we need to have a form to test some of those models and assumptions to make sure whatever
recommendations come out really fit Vermont in particular our organizational structures.” Mace realized
the difference between Innovation and Diffusion Models from a Complex Systems Framework, as she
wanted to make sure the UVM model also applied to Vermont.

S.279 - An act relating to radon testing in schools
The bill would require school boards statewide to adopt and implement school radon testing plans whereby schools
would periodically test for radon, and if radon is detected, address the presence of the substance. All initial radon
testing would need to be completed no later than January 1, 2021 unless a school had been tested on or after
January 1, 2017. The radon testing results would have to be made available for public dissemination. This bill is
currently on the Senate floor, referred to the Committee on Education.

S.46 - An act relating to reducing Education Fund costs for fiscal year 2018
This bill proposes to bring teachers’ health care contributions into line with those of most State and
private employees in the State by requiring all new teachers’ contracts to include a provision bringing
the health care premium cost share to at least 20 percent. Moreover, it proposes to provide Education
Fund resources for all educational endeavors, from prekindergarten to higher education, by level funding
school district spending at fiscal year 2017 levels for one year. Districts will be able to raise additional
funds through a local assessment to make up any shortfall. Finally, it proposes to create an incentive for
independent schools to also hold down school 15 spending by level funding tuition levels at fiscal year 2017 levels. The bill is currently on the Senate floor as of 1/25/2017, read for the 1st time and referred to Committee on Education.

The committee did not have as much time to talk about this bill because of time constraints but they achieved everything they wanted to. As apparently, certain communities around the state wanted to hit the pause button on act 46 because the existing secretary of education stepped down on April 1st. However, the committee did not believe that was necessary, which was the objective of bringing this bill up again. However, there were still some uncertainties with the timing on this bill. Donna Russo-Savage said, “Act 46 requires any district that didn’t voluntarily unify with other districts and is smaller than a certain size to perform three functions for act 46. To Self-evaluate against the goals of act 46 and talk to their neighbors and come forward about proposal for moving forward. The next step was for the secretary of education to talk with these school boards and their proposals. Because of this, these school boards are behind schedule and may need more time. Some districts did not agree and are still working on their proposals.” The committee did not seem too concerned about the timeline of this act. However, we do not think the timeline is the biggest issue with this act. The fact that these issues were not addressed prior to the bill being passed is more troubling than anything else. We were not involved in prior discussions about this bill, but it sounds like these districts did not have much say in this bill. If they did, they still would not be struggling coming up with proposals. They probably would have come up with a policy change that worked for them in the initial bill. However, it sounds like these districts are still learning from the process as Brad James said, “School districts that did not agree with the initial bill have said that they have learned a lot with the process of preparing for the act and they can actually improve with this act; however they still do not want to merge.” It is great that these districts are learning from this act and becoming more at ease with it. However, from what we have learned in this class, these issues probably should have been dealt with before the policy change. It would be interesting to know why this was the case. An interesting question to ask to Senator Ingram would be; why the districts did not voluntarily unify had the option to submit proposals to the secretary for their own direction. Wouldn’t it be better to figure out the plan for these districts prior to the bill being passed?
Links to the bills:

- **H.897 - An act relating to enhancing the effectiveness, availability, and equity of services provided to students who require additional support**
- **H.504 - An act relating to career technical education, special education, and education weightings**
- **S.46 - An act relating to reducing Education Fund costs for fiscal year 2018**
Appendix K: Research Project on unemployment among young adults in the US
Introduction

- Presentation of the problem
  - Systemic Solutions for a systemic problem
  - Diversity of stakeholders that need to get involved
- Presentation of the outline
  - Some facts
  - Potential solutions
  - Evaluation criteria
  - Our recommendation
  - Political feasibility discussion
  - Conclusion

Some Facts

- In 2013, labor force participation rate for young adults ages 18-24 was 64.7%, unchanged from the previous year
- Since 2000, the labor force participation for young adults has declined by almost 8.7 percentage points overall
- Unemployment rates: 12.4% for White young adults in 2013, compared to 25.1% for Black, 11.7% for Asian, and 15.2% Hispanic young adults
- Nationally, an estimated 3 million (7.6 percent) of young people aged 16–24 are disconnected from the labor force
Potential solutions or policy alternatives

- Increase investment in community colleges
- Increase the financial incentive for employment through an expanded EITC
- Create pathways to success for out-of-school, out-of-work youth
- Improve the Registered Apprenticeships program at the Department of Labor
- Boost mentoring

Evaluation Criteria

- **Economic criteria**
  - Revenues and government spending
- **Technical criteria**
  - Is the technology available?
- **Equity criteria**
  - “Who pays?” and “who benefits?”
- **Administrative criteria**
  - Administrative ease
- **Political criteria**
  - To what extent the policy alternative will be acceptable?
**Recommendation: Workforce Innovation and Opportunity Act**

- **Workforce Investment Act and WIOA**
- **Background on WIOA**
  - WIOA can help 3 million students who drop out each year
  - Encourages teens and young adults to re-enter school
  - Incentivizes pay-for-performance
  - Requires states to think about their overall workforce development
- **Goal:** help young Americans embark on meaningful education and career pathways and tackle unacceptably high levels of youth unemployment

**Political Feasibility Assessed Through Advocacy Coalition Framework**

As we learned, Advocacy Coalition Framework is a framework of the policy process to deal with “wicked” problems — those involving substantial goal conflicts, important technical disputes, and multiple actors from several levels of government in complex political environments.

- US Department of Education and US Department of Labor
  - Office of Career, Technical and Adult education
  - Office of special education and Rehabilitation Services
- US Department of Health and Human services
- National Skills Coalition
- Opportunity Nation’s Coalition
- Youth Advocates
- US Senate and House of representatives passed the WIOA in the Summer of 2014 and on July 22, 2014, it became a law.
- The Final rule (2016)
Some members of the Opportunity Nation’s Coalition

RELATIVELY STABLE PARAMETERS
1. Basic attributes of the problem areas (good)
2. Basic distribution of natural resources
3. Fundamental socio-cultural values and social structure
4. Basic constitutional structure (rules)

EXTERNAL (SYSTEM) EVENTS
1. Changes in socioeconomic conditions
2. Changes in public opinion
3. Changes in systematic governing coalition
4. Policy decisions and impacts from other subsystems

LONG TERM COALITION OPPORTUNITY STRUCTURES
1. Degree of consensus for major political change
2. Openness of political system

POLICY SUBSYSTEM
Coalition A
Policy Brokers
(a) Policy beliefs
(b) Resources
Strategy re. guidance instruments
Decisions by Governmental Authorities
Institutional Rules, Resource Allocations, and Appointments
Policy Outputs
Policy Impacts

Coalition B
Policy Brokers
(a) Policy beliefs
(b) Resources
Strategy re. guidance instruments
Conclusion
PA 306 Policy Analysis Project
Topic: Unemployment among young adults in the United States
Phase 1: Analysis of the problem: Due on 3/1/2018
Phase 2: Analysis of the Solutions and Revised Analysis of the Problem: Due on 3/29/2018
Phase 3: Political Feasibility Analysis: Due on 4/19/2018

The Workforce Innovation and Opportunity Act: Political feasibility

In July 2014, Congress passed and President Barack Obama signed the Workforce Innovation and Opportunity Act, which became the new law governing the nation’s workforce system. The fact that WIOA became a law says a law on the political enthusiasm around the Act. It shows the political willingness to make a real policy change. When it comes to the effectiveness of change after a policy change, the sole great intention of the policymakers is not always sufficient. Change will most likely happen only if the new policy has the chance to be implemented and enforced. An examination of the state of education policy and research conducted on the challenges faced by youth helps illuminate that the advocacy coalition framework (ACF) is potentially a useful conceptual framework for understanding the current policy shift toward something more comprehensive taking place within the education and training policy subsystem. The basic strategy of this framework is to use the structure of beliefs in the governing coalitions of policy subsystems to predict changes in shared beliefs that lead to changes in policy over time (Sabatier, 1988).

The Department of Labor (DOL or the Department) issues a measure called Final Rule to implement titles I and III of the Workforce Innovation and Opportunity Act (WIOA). Through these regulations, the Department reforms and modernizes our nation’s workforce development system. This rule provides the framework for changes for statewide and local workforce development systems to increase the employment, retention, earnings, and occupational skill attainment of U.S. workers, particularly those individuals with barriers to employment. The goal is to help them move into good jobs and careers and provide businesses with the skilled workforce needed to make the United States more competitive in the 21st Century global economy.

WIOA serves young parents with barriers to employment. It directs states and localities to offer job seekers and workers universal access to services, but it also specifically encourages states and localities
to provide services to individuals with barriers to employment and calls out single parents as such a population. The law also gives state governors discretion to identify other groups with barriers to employment. Thus, a state could identify low-income parents with childcare needs as a target population with barriers to employment and describe in its state unified plans the vision and plan to serve this population. In this manner, states and localities can use the language in the new law to reorient their systems toward serving the disadvantaged, including low-income parents.

Several changes under WIOA affect services for youth. First, the age range defining out-of-school youth changed from ages 16–21 to ages 16–24, capturing more young parents. In fact, anyone who is low-income, “pregnant or parenting,” and within the specified age range qualifies as an out-of-school youth under the law. Second, a significantly larger portion of funding is slated for out-of-school youth programs. WIOA requires that 75 percent of statewide funds and 75 percent of local funds be spent on out-of-school youth, compared with just 30 percent under WIA. If many out-of-school youth are parents, states and localities may need to think more about how to meet parents’ needs, particularly around childcare. Third, for youth served through Job Corps (a residential job training program for youth), new language specifies that programs must make efforts to have childcare available on site or in close proximity. Although Job Corps serves only a small number of young parents, requiring childcare on site or nearby is an important step for ensuring young parents can access this training. It could also provide valuable lessons for other workforce development providers interested in improving access to childcare for parents.

Shortly after the July 2014 passage of the Workforce Innovation and Opportunity Act (WIOA), National Skills Coalition (NSC) published, Realizing Innovation and Opportunity in WIOA: A Playbook for Creating Effective State Plans. In fact, state plans are living documents that can be modified at any time. The report provides recommendations on how states can use their WIOA state plan to establish strategies that close the skill gap and help workers and businesses succeed. The National Skills Coalition is a non-partisan, broad-based coalition of employers, unions, education and training providers, and public officials working toward a vision of an America that grows its economy by investing in its people so that every worker and every industry has the skills to compete and prosper. We engage in organizing, advocacy, and communications to advance state and federal policies that support these goals — policies that are based on the on-the-ground expertise of our members. The National Skills Coalition is governed by a Board of Directors and advised by a national Leadership Council drawn from the ranks of business, labor, community colleges, community-based organizations, and the public workforce system. More
than 8,000 members, representing more than 3,000 organizations in all 50 states, comprise the broad-based membership of National Skills Coalition. It a very powerful institution in support of WIOA and working hard in collaboration with the Department of Labor and the Department of Education for the implementation of the Act.

The Playbook’s recommendations addressed the state planning process, as well as key strategies that are supportive of WIOA: sector partnerships, career pathways, cross-program data and measurement, and job-driven investments.

WIOA highlights sector partnerships as a key strategy for meeting the needs of employers, workers, and jobseekers. A sector partnership organizes multiple employers and key stakeholders in an industry cluster into a working group that focuses on the shared goals and human resources needs of the industry cluster. An intermediary organization typically facilitates the collaboration.

Under WIOA, state plans must describe how employers will be engaged through sector partnerships. Local workforce boards must use adult and dislocated worker funds to “develop, convene, or implement” sector partnerships, and state support for local sector partnerships is one of the required activities for which state set-aside funds must be used.

Some states with existing sector partnership policies used the WIOA plan to describe how they will expand sector partnerships throughout the state and connect them to other key skills strategies, such as work-based learning and career pathways.

**Using Advocacy Coalition Framework to understand the education and training policy change**

As we learned, Advocacy Coalition Framework is a framework of the policy process to deal with “wicked” problems – those involving substantial goal conflicts, important technical disputes, and multiple actors from several levels of government in complex political environments. ACF focuses on the belief systems of advocacy coalitions within policy subsystems as the critical vehicle for understanding the role of policy analysis in policy-oriented learning and the effect, in turn, of such learning on changes in governmental programs (Sabatier, 1988). It is an intellectual construct to understand how different actors work together through the policy process to implement change in policy.
The dedication of the actors and the terms of the Final Rule show the willingness to see Workforce Innovation and Opportunity Act to operate. The real question is what is the use of a policy if it not implementable and enforceable? The Final rule is a tool that is supposed to help implement the WIOA. By looking at all the stakeholders, from individuals to organizations or institutions involved in the creation of the WIOA and those involved in the creation and defense of the Final for the implementation of the WIOA, we think that Advocacy Coalitions have played an important role in the effectiveness of the Act. The Department of Labor (DOL), in coordination with the U.S. Departments of Education (ED) and Health and Human Services (HHS), has worked to prepare everyone for the implementation of WIOA. The WIOA Resource Page provides information and resources for States, local areas, non-profits and other grantees, and other stakeholders to assist with implementation of the Act. The U.S. Departments of Labor and Education issued rules implementing WIOA. WIOA is landmark legislation that is designed to strengthen and improve our nation's public workforce system and help get Americans, including youth and those with significant barriers to employment, into high-quality jobs and careers and help employers hire and retain skilled workers.

WIOA succeeded to the Workforce Investment Act. This shows how crucial policy change was at some point. A five-year strategic plan was put in place for that matter. The purpose of the Five-Year Research and Evaluation Strategic Plan for 2012-2017 (Research Plan) is to assist ETA in identifying high priority topic areas when planning research and evaluation over the next five years. Under Section 171 of the Workforce Investment Act of 1998 (WIA), after consultation with States, localities, and other interested parties, the Secretary of Labor is to prepare a plan that describes demonstration and pilot, multi-service, research, and multistate projects that focus on employment and training priorities for the five-year period following the plan. The plan is to contain strategies to address national employment and training problems and take into account factors such as the availability of existing research; the need to ensure results that have interstate validity; the benefits of economies of scale and the efficiency of proposed projects; and the likelihood that the results of the projects will be useful to policymakers and stakeholders in addressing employment and training problems. While not required, but to better coordinate ETA's efforts, ETA has consistently included evaluations under Section 172 in the Research Plan.

Concerning the WIOA, there was almost a consensus around the existence of the problem and they mostly agree the old policy system consisting of the traditional educational curriculum is leaving many students behind. Therefore, the Department of Education in collaboration with the Department of Labor advocated for the WIOA to be adopted. After I, the Act was signed in law, they realized, the
implementation would face many obstacles if nothing were done. This led to the creation of Final Rule, which was also very supported across the board. While the final regulations were being developed, states can take important steps to develop a system of supports and services to improve access and outcomes for an important target population of the workforce investment system. WIOA is supported at almost all levels. Partnership around the problem concerning youth development took shape. **WIOA Partner Resource Pages shows the following: for the Department of Education, Office of Career, Technical and Adult Education (OCTAE), Office of Special Education and Rehabilitative (OSERS) - Rehabilitation Services and Department of Health and Human Services, all invested in the implementation of WIOA. Many testimonies in support of the Act and the Final are noticeable.**

At all levels (federal, state and local), WIOA is supported. For instance, the nondiscrimination plan embedded in the WIOA is an attractive clause that many coalitions value. The nondiscrimination and Equal Opportunity provisions of Workforce Innovation and Opportunity Act (WIOA), Section 188, prohibit discrimination against applicants, beneficiaries and employees based on race, color, national origin, age, disability, sex, religion, and political affiliation or belief. It is also against beneficiaries based on citizenship and participation in WIOA. Section 188 of WIOA also requires that states develop, implement and maintain, for each of their programs, a document titled the Nondiscrimination Plan.

WIOA governor’s reserve funds and state funds will be used to support these collaborative efforts. Working with industry partnerships, local boards will provide opportunities for soft skills development, internships, workplace shadowing, and career mentoring. Pennsylvania will also support summer youth employment and internship opportunities, including using TANF and state funds.
Conclusion

First, the passage of by Congress and the signature of President Obama of WIOA, which became a law, then the adoption of the Final Rule for its implementation show the political enthusiasm and therefore the political feasibility of the Act. It is important to point out the impressive the network that took shape to advocate for WIOA created from its adoption to its implementation. The Advocacy Coalition Framework posits a hierarchical belief system, including deep core beliefs, which are ontological and normative, basic political values, which constitute the “glue” that ties coalitions together, and policy- or instrumental-level positions (Sabatier & Jenkins-Smith, 1993). This framework takes into account the importance of various coalitions among certain policy makers, influential actors, and pressure groups, such as the National Skills Coalition (NSC). By seeing the interactions between the actors or stakeholders, we can confirm that Advocacy Coalition Framework truly consists of various different actors, including assorted government agencies, associations, civil society organizations, researchers, media institutions, and prominent individuals who share common policy goals. Within the policy subsystem, there are multiple coalitions, but often one is dominant (Wamsley, 1985). In this WIOA case, the dominant coalitions came mostly from the Department of Labor and the Department of Education. The WIOA is already implemented nationwide and there is no doubt that it is politically feasible.
Reference:

https://www.doleta.gov/WIOA/Overview.cfm

https://www.doleta.gov/reports/dpld_legislative.cfm


Appendix L: Study Case on Teenage Driver Auto Accident Rates

Written reflection produced for the portfolio

Policy Process: Competency 2 c: **Capacity to conduct policy analysis/evaluation**

PA 311 Week 9 Group Activity

The Problem: Teenage Driver Auto Accident Rates Teenagers have the highest accident rate of any group of drivers. This results in expensive auto repairs. The more serious dimension of the problem, however, is deaths and injuries. At the national level this problem is so serious that it has been termed “the major health problem for teenagers in the United States.” According to a 2006 study published in CQ Researcher, “Drivers between the ages 15 and 20 make up about 6.4 percent of the nation’s population, but for the last 10 years they have been involved in approximately 14 percent of all fatal car crashes.” Alcohol is a factor in almost a third of all fatal crashes involving drivers between the ages of 15 and 20. Teenage drivers involved in accidents injure not only themselves but their own passengers, as well as other drivers and those drivers’ passengers. Recent studies estimate the national number of fatalities from accidents involving a teen driver at 9,000 people annually. Approximately one-half of the states provide direct financial support to high schools that teach driver education, and almost as many states allow teenagers to obtain driver’s licenses at a younger age if they have successfully completed driver education. Typically 16- and 17-year-olds may obtain a driver’s license if they successfully complete the course. In a few states 15-year-olds who complete the course can obtain a license. Without such a course one usually has to be 18 years old to obtain a driver’s license. Politicians and officials in various states are concerned about the high accident rate among teenage drivers. In this chapter you were introduced to the debate on the topic between Secretary of State Chris West and challenger Val Lawrence (see Figure 2.6). Figures 2.6, 2.7, and 2.8 provide a brief overview of the problem. Although they do not present the entire picture, they provide information about some of the problem’s key dimensions. Your assignment is to conduct a full-cycle policy analysis, from verifying and redefining the problem, through specifying evaluation criteria and alternatives, to conducting the evaluation of alternatives. The selected source reference materials that follow will provide a start for your analysis, but you may need to locate data and information specific to the problem as you define it. Assume that your client is either Secretary of State Chris West or challenger Val Lawrence.

The Assignment In groups of 4-5, please discuss and develop your answers to the following:
1. Verify, define, and detail the problem for your client. Has the problem been identified correctly?

2. Establish the evaluation criteria against which you would test possible alternative solutions.

3. Identify as many relevant alternative policies as possible.

4. Evaluate these alternative policies, giving the pros and cons and expected as well as unexpected consequences of each.

5. Devise a method to display the alternatives and select the preferred alternative from the perspective of your client.

6. Explain how you would monitor the results of the policy after it is implemented.

**Answers**

1- The problem has been correctly identified as the following: seriousness of teenage driver auto accidents in the US.

2- We might establish five evaluation criteria, which are the economic, technical, equity administrative and political. The economic criteria will assess the cost of the policy in term of revenues and government spending. The technical criteria will determine if the technology is available to put to the policy in place. The equity criteria will determine who pays for and who benefits from the policy. The Administrative criteria will define how convenient or easy it is to move forward administratively. Finally, the political criteria will appreciate the extent to which the policy alternative will be acceptable.

3- The norm is that without a completing driver education course one usually has to be 18 years old to obtain a driver’s license. Here are the policy alternatives:

- Allow teenagers to obtain driver’s licenses at a younger age if they have successfully completed driver education. Typically 15- to 18-year-olds may obtain a driver’s license if they successfully complete the course.
- Reinforce public transportation access and subsidize the cost of public transportation for 15- to 18-year-olds.
- Reinforce traffic control by increasing police presence on the roads and in traffic as an accident preventive method.
- Increase the driving age to 18 and the age to drink alcohol to 22.

4- Evaluation of the policy alternatives

**First policy alternative:** Allow teenagers to obtain driver’s licenses at a younger age if they have successfully completed driver education. Typically 15- to 18-year-olds may obtain a driver’s license if they successfully complete the course.

Based on the economic criteria, my argument is that many high schools are already offering the driving program with the state financial support. For the Technical criteria is already satisfied as well as the equity criteria. The State pays and the students are the primary beneficiaries. For the Administrative criteria, the program is set up as an after school activity. For the political criteria, this policy has the necessary political support with the active involvement of politicians and officials due to the seriousness of the issue.

**Second and third policy alternatives:** Reinforcing public transportation access and subsidize the cost of public transportation for 15- to 18-year-olds or reinforcing traffic control by increasing police presence on the roads and in traffic as an accident preventive method.

Based on the economic criteria, these policy alternatives seem expensive even though they seem administratively and technically feasible. Their high cost of operationalization might raise some equity concerns as well as some political feasibility concerns.

**Fourth policy alternative:** Increase the driving age to 18 and the age to drink alcohol to 22.

This policy alternative might easily meet the economic, the technical, the administrative and the equity criteria, but could suffer to meet the political criteria because the politicians investing themselves to get young voters support for their political agenda and they wouldn’t jeopardize their chances by supporting such a policy.

5- Based on the evaluation of the four policy alternatives, my preferred alternative from the perspective of your client will be the first policy alternative recommending to “allow teenagers to obtain driver’s licenses at a younger age if they have successfully completed driver education.
Typically 15- to 18-year-olds may obtain a driver’s license if they successfully complete the course.” I think it is the most successful policy alternative in this instance.

6- **In order to** monitor the results of the policy after it is implemented, I will start by setting up short-term outcomes, intermediate and long term outcomes. This will then allow me to demonstrate the impact of the policy by measuring at each step whether the short-term, intermediate and long term expectations are being met.
## Appendix M: Earned Income Tax Credit (EITC)

**PA 311: Policy analysis and Program evaluation**

**Worksheet 1**

### Situation:

For this assignment, I chose to work on Earned Income Tax Credit (EITC) also known as Earned Income Credit (EIC). EITC is defined as a benefit for working people with low or moderate income. EITC was initiated to overcome the increasing poverty by encouraging and rewarding work. Many children from low or moderate income households lived in poverty, did not have a chance to have access to healthcare and to higher education and be successful later in life. EITC then developed in reaction to the criticism of the traditional welfare programs that generate adverse incentives for work and families’ wellbeing.

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<tr>
<th>Inputs</th>
<th>Outputs</th>
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<td><strong>Activities</strong></td>
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<tr>
<td>Time</td>
<td>Spread the word</td>
<td>Low income workers</td>
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<td>Money</td>
<td>Education sessions</td>
<td>Moderate income workers</td>
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<tr>
<td>Research base</td>
<td>Address the language</td>
<td>Households with children</td>
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<td>Partners</td>
<td>challenge</td>
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<td>Tax preparers</td>
<td>Promotion of family</td>
<td>Married couples</td>
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<td>Staff</td>
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<td>Story telling/Sharing</td>
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Program theory:

Simply put, the assumption is that the illegible citizens by meeting the requirements of Earned Income Tax credit and filling their tax return would end up receiving the benefit. Like any other program, the targeted beneficiaries need to be aware of the existence of the program and all the conditions and requirements attached to it. In addition, the tax preparers need to be trained to help their clients file successfully for Earned Income Tax Credit.

If the word is spread out, then the citizens will hear about the program and check out their eligibility and apply for it if need be. This means also, addressing issues such as the language challenges, reaching out the targeted citizens. For instance, working families with children and low or moderate income would take more advantage of the program than a single person with low or moderate income and without children. So, if low or moderate income workers, receive EITC, then poverty will be fought.

Theory assessment:

I find it very interesting how taxation or tax system can be used encourage and support those who choose to work. Labor force participation responses are more significant than hours worked responses has several important implications for the design of tax-transfer programs and the welfare evaluation of taxation. Therefore, labor supply does respond to the EITC. The program theory seems to be working. EITC is proven to be reducing poverty in the long term by mostly supplementing the earnings of low-wage working families and by encouraging work. However, there is still room for improvement due to the fact EITC program is beneficial to low and moderate working families with children to almost the detriment of low or moderate single workers with no children. While working families with children are given a chance to free themselves from poverty and dependence from welfare programs, low or moderate single workers with no children are getting poorer and poorer. Moreover, people receiving EITC do not always make a good use of it in the way that would put an end to their poverty and improve their standard of living to the extent that quit heavily relying on welfare program. That money that they receiving is not always well invested. With that mentioned, we can argue that the program theory works, but not fully since there is still a gap between what it being done or accomplished and what the true intention was while designing the logic model.

Even though the EITC program is known as “the largest cash transfer program for lower income families at the federal level” (Nada Eissa, Hilary Hoynes, and Behavioral Responses to taxes: lessons from EITC and labor supply, Working Paper 11729), it is still displaying some areas of improvement. The reality
makes us wander if poverty is being fought with all this cash transferred. Is the cashed received being invested properly to improve families’ wellbeing, health care access, access to higher education, etc. to fight poverty in the end?

Reference:
Appendix N: High-level observation and recommendations

PA302 Organizational Theory and Behavior

Observation

Before 2007, UVM Custodial services was part of Physical Plant Department. In 2007, the University decided to create an independent department by bringing together custodial staff from across campus into a singular and unified organizational structure. The new structure allowed an easy implementation of standardization, and consistency across campus. This new administrative structure was placed under the leadership of Leslye Kornegay, the first Director.

After the creation of Custodial Services Department, the University has faced financial challenges, which has led to envision outsourcing of the department’s work at some point. The University’s leadership wondered if it would not be beneficial to have cleaning done by a private company. Later on, the University concluded that cleaning could be done in-house more cost effectively than by various external vendors. However, some specific tasks such as pest control, language translation services, window washing and Vendor Management Inventory for cleaning supplies, Custodial Services Department has relied on third-party vendors where feasible instead of hiring additional staff.

Leslye Kornegay led the department of Custodial Services from 2007 to March 2016. Under her leadership, the department has managed to keep up with the needs of the university. As the external consultants revealed in their report, the previous director “seemed not to have produced the most appropriate or efficient working atmosphere at the University.”(2017 External Consultant Report). However, apparently, the consultants acknowledge that Leslye Kornegay put in place the basis for a successful department. After she left, in March 2016, Bill Ballard played the role of the interim director and a search committee was designated to hire a new director. In January 2017, Gerald Coleman was hired as the new director of UVM Custodial services. Obviously, as Mr. Coleman assumes his new role, he faced the challenge of a department that needs to be efficiently and strategically structure and organized.

The University of Vermont Custodial Services Department can be presented as a one of the most diverse groups of individuals on campus that are almost 200 in number with representation from 22 countries speaking more than 20 different native languages (CSD UVM web page). The Custodial services
Department extraordinary contributes to the impressive diversity of staff at the University of Vermont. One of the biggest challenges is the language barrier, English not being the first language for the vast majority of the staff members. The department has supported this diverse workforce by initiating programs to develop and advance its talent pool. The department is committed to hiring and promoting without discrimination or bias and by recognizing the cultural value that diversity brings to the campus community. In addition, CSD staff continues to participate in University trainings, forums, and seminars that relate to the topic of diversity. To overcome the impact of the language barrier on the operations and the staff’s wellbeing, the Department regularly sponsors on-site interpreters to facilitate supervisor led Train-the-Trainer as well as translation support for documents and postings regarding job procedures and safety (2017 Self-study). In the meantime, the Department sponsors ESOL program that gives employees basic language skills that will often be necessary for career progression and staff development. Even though the diversity of staff at UVM Custodial Services is a source of pride for the department because the University as a community tends to promote diversity and inclusiveness, some customers do not perceive it as a strength for the department.

During the Administrative Unit review, when the external consultants asked about staff diversity within the department, the customers were not always appreciative of it because of the language barrier. They stated that the major problem within the department is the language barrier. For the customers interviewed, “the concern is that the language barrier is getting in the way of proper trainings, thus creating a communication issue between the staff and the customers… the concern continued with management stating that it is one of the challenges.”(2017 External Consultants Report)

During the focus group discussions I conducted with high performer custodians, they revealed that they are under the impression that some customers look down on them because of the nature of what they do to earn a living (cleaning).

While interviewing the Director of the Department, he used the terms “low hanging fruit” to refer to his department because to be hired, as custodians the candidates are not required to have any educational level, diplomat or anything as such. With the customer perception of Custodial Services in a changing fiscal climate, the department seems to be under a constant threat, which is outsourcing. The 2017 Self-study revealed the many constituents seems convinced that savings could be realized and service levels increased via outsourcing. (2017 Self-study).
Recommendations

Based my findings, I am making some recommendations that might inspire the senior leadership:

- Put together a list of the building and the people of contact for each facility
- Work on introducing custodians and supervisors to the customers and establishing an effective communication system first between custodians and the customers then, between the supervisors and the customers.
- Suggest a definition of basic coverage (essential cleaning) to the customers and allow their input. In other words, collaboratively define
- Keep the customers informed about projects schedules, snow days’ coverage, staff shortage and types of cleaning to expect in case of staff shortage and a suggestion of catch up plan afterward.
- Share with custodians the weekly or monthly event schedules in the facilities. It will help them better manage their time and provide quality service to the customers in a timely manner.
- Supervisors would gain by getting to know better their team members. A tool such as Myers Briggs might be helpful.
- An effective use of the equipment would help lower the stress and pressure felt on days of staff shortage, snow days. It would be helpful to train staff how beneficial using equipment properly would be.
- Consider hiring floaters (employees who won’t have a designated assigned area and who could be sent anywhere to address staff shortage and absenteeism)
- Relaunch Core Management processes and address the downfall of the current inspection tool that is systematized for all staff and all buildings. (2017 External consultants Report)
- Coach, mentor, train employees and hold them accountable
- Concerning UVM custodial services workforce diversity, I wonder where the department as an organization is located on the continuum of cultural competency. It does not seem to me that UVM custodial services workforce diversity is fully apprehended as an asset. Based on the anecdote of the “Wisdom of the crowds”, I was taught that workforce diversity is an asset for the simple fact that “collections of agents outperform individuals partially because people see and think about the problems differently.” (Course material of 2/14/2019 about Workforce Diversity and Cultural Competency). In the same vain, I learned that “High-performing teams are both cognitively and demographically diverse.” (Bourke and Dillon, 2018, p. 84). If UVM custodial services teams are not seen as high performing by their customers, then a work need to be done by the leadership team to fully take advantage of the diversity of the teams. This might only mean
more transparency and more involvement of frontline staff in the decision making process. As I take a close look at the Continuum of cultural competency, based on the 2018 customer service survey, the external consultants report and my personal experience, I personally think that as an organization, UVM custodial services is between “Cultural Pre-competence” (explore cultural issues, are committed, assess needs of organization and individuals) and “Cultural Competence” (recognize individual and cultural differences, seek advice from groups, hire cultural unbiased staff). The department as an organization needs to work more on cultural competency because the more culturally competent custodial services teams will be, the higher performing they will become and the better they will satisfy their customers.
Appendix O: Post internship report

To: Mr. Gerald Coleman, Director of University of Vermont Facility Services

From: Issouf Ouattara, MPA Student at the University of Vermont

Subject: Internship report: major original products generated

Date: September 12, 2019

I would like to take the opportunity to thank you for sponsoring and supporting this internship for the past two semesters (spring and summer 2019) with the University of Vermont Facility Services. It was an extremely rewarding experience. Beyond the academic exercise on the topic of “frontline supervisors’ empowerment”, I enjoyed working with my fellow colleagues mostly across the custodial academics units. As such, it was rich in experience sharing and helped me discover my potential. I am personally confident that the opportunities and experiences that I had with this internship will forever shape and influence my professional life while fostering my personal growth and development. For that, I could not be sincerely more grateful to you and to our entire department.

I grounded my argumentation, analysis, and recommendations on existing documents, such as the 2018 customer service, the external consultants’ administrative unit review report, and the self-study for the administrative unit review. I also conducted three focus group discussions, two with high performance frontline staff and one with frontline supervisors in order to avoid simple assumptions. For this same reason, I also conducted a senior leadership team survey using the Mc Kinsey Capacity Assessment Grid. However, I see the frontline supervisors’ empowerment as an ongoing process that will depend on many variables such frontline supervisors themselves and the senior leadership team’s trust and support.

I also would like to share with you the major takeaways of my internship with the University of Vermont Facility Services. I hope that the findings that contribute to frontline supervisors’ empowerment. I conclude that empowered supervisors are those who advocate, mentor, coach, guide, train, and hold staff members accountable. Therefore, they need to be convinced of their own skills to inspire the trust and respect of their team members and customers. In addition, as effective leaders, they need to sell their ideas so that their audience come away inspired, persuaded, and enlightened, which is with no doubt, empowering. Moreover, the empowerment of frontline supervisors depends on the amount of trust and
support they receive from the senior leadership team. I also hope that the report will at least provide the University of Vermont Facility Services with some useful data, which might help pursue the reflection about frontline supervisors’ empowerment and assist the Department in its quest for CIMS (Cleaning Industry Management Standards) certification, which appears to be the first consensus-based management standard that outlines the primary characteristics of a successful, quality cleaning organization. It is important to point out that it would be pretentious to claim that the results of this internship will suddenly empower the UVM Facility Services frontline supervisors. In other words, I do not intend to claim that I have produced a perfect piece of work for frontline supervisors’ empowerment. I am aware that my work may contain errors and shortcomings, and I remain open to all feedback and suggestions for improvement, which could be a source of inspiration as I grow in my ability to research and learn.

Original products generated

The major deliverable is the organizational assessment, the Mc Kinsey Capacity Assessment Grid that I used to conduct surveys with some members of the department’s senior leadership team. I also share the write up of the focus group discussions conducted with some academic high performance frontline staff and academic frontline supervisors. I selected high performance custodians using the core audit scores of their work assigned area. I did the selection collaboratively with academic’s frontline supervisors. Along with the presentation of the qualitative data, I also suggest recommendations from my findings. In addition, I use Academic zone 1 as a pilot zone for which, I share buildings’ contact people and a draft schedules to serve as an example of the recommendations’ implementation.

- Organizational assessment

  Organizational Capacity Assessment Project

  University of Vermont Facility Services

For the reminder, UVM Custodial Services Department is now known as University of Vermont Facility Services.

Capacity Assessment Grid Analysis (selection of 15 categories of the Mc Kinsey Capacity Assessment Grid)
Custodial Services Mission: “We provide the university with a clean, safe, and healthy environment in which to live, learn, and work.” (University of Vermont Custodial Services Department web page)

Concretely, to serve this mission, Custodial Services’ operational team is divided into four major work groups: Academic & Administrative, Residential Life, Davis Center, and Athletics. The staff members working in these work groups are responsible for daily cleaning to ensure the health and safety of campus’ facilities. On a daily basis, the areas the custodial staff members cover include restrooms, fitness areas, patios, entryways, kitchens, hallways, lounges, event spaces, labs, classrooms, dining areas, elevators, and stairwells. On a weekly basis, they clean office spaces and departmental conference areas. In addition, they provide periodic heavy floor care and window cleaning. The staff members are also responsible for reporting building and equipment repairs that are noticed while performing their other duties. During winter, custodial Services staff are responsible for snow removal at building entrances, handicap ramps, fire escapes, emergency exits, sidewalks and others. In addition, Custodial Services is in charge of pest and animal control as well as trash and recycling in many areas across campus. (Custodial Services, Administrative Unit Review, 2017)

The mission statement is posted in the department common areas such as offices, the conference room, staff break rooms and the main office lobby. The mission statement is also referred to whenever need be, mostly during staff meeting and other gatherings. During our interview with the Department’s Director, he said that part of his role is to ensure that the organization’s mission and purpose are used to guide and align practices.

Sources: Interview of the Director Gerald Coleman, the Administrative Unit Review, Self-study conducted and revised on January 9, 2017, The UVM Custodial department web page
Custodial Services Vision:

The UVM Custodial Services is committed to lead its industry in customer satisfaction, professionalism, quality, sustainability, safety, and employee development without losing sight of its fiscal responsibility. The department is engaged to service its customers with the "I Care" spirit: Integrity, Commitment, Accountability, Respect, and Excellence. Guided by its commitment to diversity, social justice, and its Common Ground, it will value and embrace individual differences. Its empowered staff, continuous improvement, green initiatives, and environmental sustainability will be the measure of its success (Custodial Services, Administrative Unit Review, 2017). When I started exchanging with the Director, Mr. Coleman, he introduced himself as someone who is working on developing a vision and strategy and implement procedures that are already in place. He once said that he is not the type to come and reinvent the wheel. That is to say, to some extent, that “if it not broken, don’t fix it”.

Sources: Interview of the Director Gerald Coleman, The Administrative Unit Review, Self-study conducted and revised on January 9, 2017.
Overarching goals: This score can be justified based on Customer Perception of Custodial Services in a Changing Fiscal Climate. Custodial services’ customers are mostly students, faculty, staff and others. The self-study conducted as part of the Administrative Unit Review in 2017, revealed that whether the customer operates within the General Fund Incentive Based Budget (IBB) model or the traditional Income and Expense Activities model, expectations for services have always been and will continue to be driven by available resources. Although the department takes great pride in its diversity; however, it has created communication challenges, as English is not the first language for the majority of our staff. There is an opportunity to improve the marketing of the service level to the university community beyond the Custodial Services website, by meeting with the customers and interacting with them. Additionally, greater contact with major customers by senior staff and the director could improve communications and transparency resulting in higher customers’ satisfaction. It is difficult to ignore that there are threats at the horizon, because some constituents have the impression that savings could be realized and service levels increased via outsourcing. That is why the Director referred to his department as “a low hanging fruit”. “To the question of setting and pursuing performance goals, Mr. Coleman replied that the department has performance goals, but is working on setting an even greater new goal. The ultimate goal is to provide the best facility services. To reach the performance goals, the department relies on training and professional development promoted at all levels within the department. He revealed that performance is trucked through the weekly inspections of the buildings using Smart Inspect software and through customer surveys and feedback.”(Interview write up).

Source:

Interview of the Director Gerald Coleman, The Administrative Unit Review, Self-study conducted and revised on January 9, 2017.
Overall strategy: UVM Custodial Services is committed to providing the best possible service with the resources that are available. The senior leadership realize that future budget reductions seem inevitable. Therefore, the department strategically plans to continue to identify methods to provide excellent service at a reduced per unit cost. The overall strategy consists of adjusting service levels in non-mission critical areas. Since 2007 and in the years in which the University has faced difficult financial challenges, outsourcing of the department’s work has been considered. The University leadership has posed the question if cleaning should be outsourced to a private vendor. In 2008, the University concluded that cleaning could be done in-house more cost effectively than by various external vendors. In 2012, with the assistance of an external consultant, UVM again concluded that cleaning should be done in-house by UVM staff and managed by UVM leadership. To overcome the challenge of outsourcing, Custodial Services has utilized third-party vendors where feasible instead of hiring additional staff. Some examples are window washing, pest control, and some language translation services. In the same vain, the university utilized Core Management to analyze facilities needs and determine appropriate labor requirements. (Administrative Unit Review, Self-study).

Goals/ performance targets

I submitted a selection (the same selection for the class assignment) of the 15 categories of the MC Kinsey Capacity Assessment Grid to five members of the UVM Custodial Services’ senior leadership team for them to assess UVM Custodial. They independently took the survey without disclosing their identities and they all checked “2” for the “Goals/performance targets” category. I also relied on the inspections results to come with the same score.

The department in partnership with Core management runs inspections in the buildings using the Smart Inspection Software, which helps point out deficiencies or areas that need more work. After the audits, a recovery plan is written for the custodians in charge of the area to address the issues detected. In addition, the department conducts customer service surveys throughout the academic year. The data collected help in making decisions to meet the customers’ expectations. The norm for the department with core audits is 90% and any score under that threshold is concerning and need a special attention immediately.

**Sources**: Survey took by UVM senior leadership team (the fifteen selected categories of Mc Kinsey capacity assessment Grid), UVM Custodial Services Customer Service Survey of 2018.
# Program relevance and integration

To come up with this score, I considered the department’s Vendor Managed Inventory (VMI) for equipment and supplies and I selected the core management program for mostly cleaning practices and scheduling (CSD 2017 self-study).

Until 2018, the VMI contractor provided inventory control and supply ordering, which means that the vendor was determining the products that the department need to operate. Since the vendor was in charge of the inventories and the supplier at the same time, which caused a problem. The department found its VMI closets overstocked with products that were not used, while the employees were lacking products that they needed to perform their job. This ended up being too expensive and not efficient for the department. Thanks to the town meetings, leadership meetings, supervisory meetings and others, the frontline supervisors started raising concerns about the service provided by the supplier. Since January 2019, frontline supervisors do their inventories themselves and place supplies orders for themselves.

Concerning with core management program, the weekly audits make the frontline supervisors wonder about the effectiveness and accuracy of the data by the time they submit the recovery plans to the custodians to address the issues they pointed out during their inspections. They also noticed that handing out recovery plans to the employees is negatively affecting the moral.

**Sources:** Leadership meetings, Supervisory Meetings, Town meetings with the Director
New program

The department in partnership with Vermont Adult Learning (VAL) used to sponsor an ESL (English as Second Language) program to support training and development for diverse CSD staff. About three years ago, due to financial challenges, the department ended its contract with VAL and started a new partnership with UVM Global Gate program for English classes for frontline staff. This program helps the department to comply with OSHA regulations, which by the new Globally Harmonized System, gives workers the “right to understand.” The ESOL program also gives employees basic language skills that are necessary for their personal growth and professional development. There is still some effort to be done to encourage and convince some frontline staff to attend the classes. In addition, due to the language barrier, CSD regularly sponsors on-site interpreters to facilitate supervisor led “Train-the-Trainer” program as well as translation support for documents and postings regarding job procedures and safety.

To increase the service level of the translators, the department just launched a pilot program to utilize a telephonic interpreting service offered by the vendor Language Line Solutions. This over-the-phone interpreting service could supplement and possibly replace many instances in which UVM Custodial and UVM HR have typically relied on local organizations (i.e. Association for African Living in Vermont and US Committee for Refugees and Immigrants). These were used to schedule in-person interpreters to facilitate meetings with Limited English Proficiency staff on topics like safety training, compliance, and labor relations. In the past, the in-person interpreting has worked fine for the department of Custodial services. However, but telephonic interpreting gives the department an opportunity to maintain or lower cost, to lessen the administrative burden of interpreter scheduling. It also provides access to a greater range of languages; improve quality/reliability while enabling 24/7, on-demand interpreting for on-the-job interaction between UVM management and our LEP staff, which will benefit the third shift.
This helps the department to promote an inclusive and transparent departmental culture that values dialogue and feedback from all staff members.

**Sources:** 2017 self-study for Administrative Unit Review

<table>
<thead>
<tr>
<th>III. ORGANIZATIONAL SKILLS</th>
<th>1 Clear need for increased capacity</th>
<th>2 Basic level of capacity in place</th>
<th>3 Moderate level of capacity in place</th>
<th>4 High level of capacity in place</th>
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<tr>
<td>Performance measurement</td>
<td>Performance partially measured and progress partially tracked; organization regularly collects solid data on program activities and outputs (e.g., number of children served) but lacks data-driven, externally validated social impact measurement</td>
<td>Performance measured and progress tracked in multiple ways, several times a year, considering social, financial, and organizational impact of program and activities; multiplicity of performance indicators; social impact measured, but control group, longitudinal (i.e., long-term) or third-party nature of evaluation is missing</td>
<td>Well-developed comprehensive, integrated system (e.g., balanced scorecard) used for measuring organization’s performance and progress on continual basis, including social, financial, and organizational impact of program and activities; small number of clear, measurable, and meaningful key performance indicators; social impact measured based on longitudinal studies with control groups, and performed or supervised by third-party experts</td>
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**Performance management:** The department has performance measurement tools in place such as Core audits or inspections, customer surveys and staff a performance review. After inspections and surveys, the data collected are analyzed, and recovery plans are designed to address the deficiencies. The frontline supervisors inspect the cleanliness of the buildings once a week. In addition, an external auditor runs twice a year audits. Despite this, some issues arise on the gap between the state of the inspected space and the content of the recovery plan, which is inaccurate most of the time. For instance, a cobweb, a buildup or soil seen on a piece of furniture during the inspection may no longer be there by the time the recovery plan is ready to address the issue. The goal is to improve the cleanliness of the facilities and improve the performance indicators, but the department is still struggling to find a better way to achieve that goal efficiently.

**Source:** Interview with the Director, Personal experience
<table>
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<tr>
<th>Strategic planning</th>
<th>1 Clear need for increased capacity</th>
<th>2 Basic level of capacity in place</th>
<th>3 Moderate level of capacity in place</th>
<th>4 High level of capacity in place</th>
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<tr>
<td>Limited ability and tendency to develop strategic plan, either internally or via external assistance; if strategic plan exists, it is not used</td>
<td>Some ability and tendency to develop high-level strategic plan either internally or via external assistance; strategic plan roughly directs management decisions</td>
<td>Ability and tendency to develop and refine concrete, realistic and detailed strategic plan; some internal expertise in strategic planning or access to relevant external assistance; strategic planning carried out on a near-regular basis; strategic plan used to guide management decisions</td>
<td>Ability to develop and refine concrete, realistic and detailed strategic plan; critical mass of internal expertise in strategic planning, or efficient use of external, sustainable, highly qualified resources; strategic planning exercise carried out regularly; strategic plan used extensively to guide management decisions</td>
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**Strategic planning**

During the interview with the Director, when asked if the organization engages in strategic planning, Mr. Coleman confirmed that the UVM Custodial Services Department engages in it on an annual basis and he finds the plans very effective. He said that the previous plan, for instance, focused on mechanizing the equipment to increase professionalism and productivity. Mr. Coleman intends to keep focusing on professionalization and improving the department image in the coming strategic plan. For example, he is suggesting a dress code at least for the leadership team. The new plan will be also focusing on the rebranding to take into account the scope of work that the organization performs, which is not only cleaning, but also things like pest control, recycling, snow removal, composting and others. Mr. Coleman is convinced that the university community is generally not well informed about what the custodial department’s scope of work is.

**Sources:** Interview with the Director, Personal experience
Operation planning

The operation planning is determined by area type, task and frequencies. For instance, custodial staff are responsible for general cleaning on a daily basis of public areas to include patios, entryways, hallways, restrooms, lounges, event spaces, classrooms, dining areas, elevators, and stairwells. Offices and conference rooms are serviced on a weekly basis. Snow removal at building entrances and exits is done as needed. Custodial staff are also responsible for reporting building and equipment repairs, as noticed while performing our other duties. The department also covers events on campus in collaboration with The University Events Services. The department is present on campus 24/7 with three shifts taking turns and the on-call system in place. CSD staff cover some spaces such as Tech Park and the Morgan Horse Farm on demand.

Based on my own experience, observations and most importantly the external consultant report, staff seem overwhelmed with covering buildings. The staff members in some zones struggle to service all classrooms before classes start in the morning (usually by 8AM). In Addition, operational planning is very challenged on daily basis by absenteeism. The department “faces challenges with absenteeism due to normal use of UVM benefits. However, continued budget reductions mean that there is less available staff to handle the workload of absent employees. Unlike other industries and job categories in which individual employee workload can be deferred, CSD must complete essential services such as disinfection, weather related maintenance, and classroom cleaning on a daily basis.” (2017 Self-study)

Sources:
From the department web page, it said that CSD staff provide housekeeping and support services for approximately 3.5 million net cleanable sq. feet in 142 buildings throughout the campus. According to Core, the number of custodians in charge of a facility depend the square footage. The Department uses the ratio of Full Time employee (FTE) per sq. feet as a base for human resources planning. As employees are retiring, a process is put in place to replace them. Whenever a new facility is built on campus, a certain number of custodians are hired accordingly to cover the facility in question. For instance, the Department is currently in the process of hiring for the new building called Innovation, which is supposed to be open to the public in May 2019.

However, the Director said during our interview that with the budget cuts of the recent years, the department lost about 12 positions without getting the possibility to rehire. He said to that effect that the department has been asked to do more with less. That is what is making him think strategically, such as promoting efficient equipment use for cleaning. Mr. Coleman assured that CSD is committed to providing the best possible service with the resources that are available. The department realizes that future budget reductions are inevitable and will continue to identify new methods to provide excellent service at a reduced per unit cost.
Sources:
Department web page, Interview with Mr. Coleman, the Director of the Department.

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<tr>
<th>Public relations and marketing</th>
<th>1 Clear need for increased capacity</th>
<th>2 Basic level of capacity in place</th>
<th>3 Moderate level of capacity in place</th>
<th>4 High level of capacity in place</th>
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<tr>
<td>Organization makes no or limited use of PR/marketing; general lack of PR/marketing skills and expertise (either internal or accessible external or expertise)</td>
<td>Organization takes opportunities to engage in PR/marketing as they arise; some PR/marketing skills and experience within staff or via external assistance</td>
<td>Organization considers PR/marketing to be useful, and actively seeks opportunities to engage in these activities; critical mass of internal expertise and experience in PR/marketing or access to relevant external assistance</td>
<td>Organization fully aware of power of PR/marketing activities, and continually and actively engages in them; broad pool of nonprofit PR/marketing expertise and experience within organization or efficient use made of external, sustainable, highly qualified resources</td>
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Public relations and marketing

There seems to be a disconnection between the department and its customers. When I surveyed the senior leadership members asking to rate the 15 categories of the McKinsey Grid, they all without consulting each other assigned “2” to “public relations and marketing” as I did. According to the 2018 Customer Survey, some customers shared that they never met a representative of the department and would like to address issues in person, but they had to rely on the website to address their concerns. It shows there is room for improvement when it comes to public relations and marketing. This seems to be an important point in the department strategic plan, as the Director pointed out during our interview. This follows the same idea as working on the image, the rebranding and the quest for more professionalism.

In 2017, UVM brought in consultants that work in the facilities management in higher education from around New England to assess the operation of UVM Custodial Services. The consultants produced a review report after interviewing customers, departmental management, and departmental staff. They reported, “The customers feel very strongly that the lack of training, communication problems caused by the variety of languages spoken within this department, and the overall communication is really poor.” (Administrative Consultant Review Report). In this report, according to the customers, the department is not always helping them understand what services are being completed, which creates an area of concern in a budget system that bills its University customers. This seems to be the evidence of the disconnection between CSD and its customers.
Sources:

2018 Customer Service survey, Interview with Mr. Coleman, Administrative Consultant Review Report

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<tr>
<th>VII. CULTURE</th>
<th>1 Clear need for increased capacity</th>
<th>2 Basic level of capacity in place</th>
<th>3 Moderate level of capacity in place</th>
<th>4 High level of capacity in place</th>
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<tbody>
<tr>
<td>People and organizational leadership/effectiveness</td>
<td>Employees are hired, rewarded and promoted for executing a set of tasks/duties or for no clear reason, rather than for their impact; decisions are mostly made on “gut feeling”</td>
<td>Performance Contribution is occasionally used and may be one of many criteria for hiring, rewarding and promoting employees; performance data is used to make decisions</td>
<td>Employee Contribution to social, financial and organizational impact is typically considered as a preeminent criterion in making hiring, rewards and promotion decisions; important decisions about the organization are embedded in comprehensive performance thinking</td>
<td>All employees are systematically hired, rewarded and promoted for their collective contribution to social, financial and organizational impact; day-to-day processes and decision making are embedded in comprehensive performance thinking; performance is constantly referred to</td>
</tr>
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</table>

**People organizational leadership/effectiveness**

The University of Vermont Custodial Services is the largest individual department of the university (about 240 employees). The best practice of the department prioritizes health, safety and customer satisfaction in accordance with their mission, which is “Provide the university with a clean and safe environment in which to live, learn, and work”. To carry out such a noble mission, the department is well aware that the focus needs to be on the people composing the labor force, those who perform the work and strive to meet the customers’ expectations. Because the department is aware that its success depends on the level of involvement and performance of the employees, the department through it leadership shows that they care.

The department in partnership with Working Bridges/United Way brought a resource coordinator on site to help employees manage their resource needs without having to leave work. The contract with Working Bridges is a collaborative way that aims at improving the department productivity, retention, advancement and financial stability for custodians. This strategy addresses the lack of resources and creates a workplace that is a “win-win” for the people and for the department. This helps build trust.

The Department also offers career advancement opportunities allowing and encouraging internal promotions. The front line staff are ranked by level mainly according to the level of responsibility. They
are custodial Level 1 (entry level), Level 2 (intermediary level) and Level 3 (the team leads). At the supervisory level, there are Maintenance Unit supervisors and senior supervisors and above the senior supervisors, there are the managers. The employees are promoted based on seniority, but mainly based on their merit. The leadership team values mentorship and coaching as part of the organizational culture. Based on my experience and observations, I can testify that there are a number of employees who moved up the ranks. For example, there are employees who started in the department as temporary employees or Level 1 employees and gradually moved to Level 1, Level 2, Level 3, supervisors and even managers.

The Director Gerald Coleman is supportive of professional development and training. He allows supervisors and senior leadership to be active members of professional organizations such as the International Executive Housekeeper Association (IEHA) who just merged with the Industrial Sanitation Supply Association (ISSA) for more professional development opportunities. The supervisors and the senior leadership are members of NNECEARAPPA, which stands for Northern New England Chapter of the Eastern Region of APPA (the Association of Physical Plant Administrators). APPA has become an association of leaders in educational facilities. The chapter provides high quality educational and networking opportunities at its annual chapter conferences. The department pays for staff’s membership fees and the fees to attend training sessions and an annual conference.

Since English is not the first language for the majority of the employees, the department in partnership with the Global Gate program of UVM, offers English classes to frontline staff. Moreover, the department is flexible and encourages employees to enroll in degree programs at UVM. There are employees in degree programs and some heading towards graduation.

**Sources:** Interview with Director of the Department of UVM Custodial Services, Personal observation, Personal experience
### VII. ORGANIZATIONAL STRUCTURE

<table>
<thead>
<tr>
<th>Individual job design</th>
<th>1 Clear need for increased capacity</th>
<th>2 Basic level of capacity in place</th>
<th>3 Moderate level of capacity in place</th>
<th>4 High level of capacity in place</th>
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<tr>
<td>Individual job design</td>
<td>Lack of positions created to address a number of key roles (e.g., CFO, HR, learning and measurement); unclear roles and responsibilities with many overlaps; job descriptions do not exist</td>
<td>Positions exist for most key roles, with a few still missing; most key positions are well-defined and have job descriptions; some unclear accountabilities or overlap in roles and responsibilities; job descriptions tend to be static</td>
<td>All key roles have associated positions; most individuals have well defined roles with clear activities and reporting relationships and minimal overlaps; job descriptions are continuously being redefined to allow for organizational development and individuals' growth within their jobs</td>
<td>All roles have associated dedicated positions; all individuals have clearly defined core roles which must be achieved and an area of discretion where they can show initiative and try to make a difference; core roles are defined in terms of end-products and services rather than activities; individuals have the ability to define their own activities and are empowered to continuously reexamine their jobs</td>
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### Individual job design

Based on my observations and own experience, there are organizational concerns about job descriptions. What is each staff member doing based on her or his position description? It does not always seem clear. According to the external consultant review report, job descriptions need to be evaluated to clearly define the role of the supervisors and senior supervisors to who administrative tasks are being added to the workload (supply inventory and ordering, processing service requests and work orders and FAMIS work). The external review report pointed out that “one supervisor travels through 30 buildings. Sometimes he walks.” (2017 external review report). This seems overwhelming and hardly efficient. The report revealed that many administrative tasks are passed from management to supervisors because management sees that as a way to help frontline supervisors develop their ability to advance. The reality is that there is no clear path for supervisors who want to move into a management position.

**Sources:** External review report, Observation, Personal experience
Performance as shared value

There seems to be a mismatch between what the audits show in number and the perception of the customers about their buildings cleanliness. As I mentioned earlier, the UVM CSD has a system in place with the annual customer surveys, the Core audits with Smart Inspection, which serve as tools for performance measurement. However, the 2017 External Consultants Report revealed some concerns with the data resulting from the audits. The report mentioned that “it was said that staff had been told when inspection was going to take place, so areas were cleaned up before the inspection occurred, giving a false representation.” They also reported that the inspection tool used is much systematized for all staff and all areas and does not take into account the specificity of each building inspected. This hardly gives an understanding of how staff are performing or how buildings are going to be kept cleaned.

The misrepresentation makes it hard to view accurately performance as a shared value. Even in the cases where the data collected reflect the reality of the facilities, there is still a concern. The question is how the data collected using the customer surveys and the results of the audits are utilized to positively affect and maintain performance. When studying Leadership and Performance Management Systems, we learned that “Paralleling the transition from strategic planning to strategic management, we need to shift the emphasis of the performance movement from performance measurement to a focus on performance management over the coming decade.”(Poister, 2010). However, before then, it is important to relaunch the Core management processes.

The external consultants perceived during their observations that the process of providing of providing feedback to custodial staff and customers is unclear. They also found that the effectiveness of Core Management quality assessment process was questionable by almost all the stakeholders with the inconsistent cleaning quality across buildings, the lack of training and clear communication of expectations (2017 External consultants report). I conducted focus groups discussions with some high
performer custodians and they underlined Core Audits ineffectiveness mostly because the Core Smart Inspection Program loses complete sight of the specificity of the different areas audited or inspected.

Sources: External review report, Observation, Personal experience, Focus groups discussions with Custodial Services staff

Systems story: High-level observation and recommendations

High-level Observation

Before 2007, UVM Custodial services was part of Physical Plant Department. In 2007, the University decided to create an independent department by bringing together custodial staff from across campus into a singular and unified organizational structure. The new structure allowed an easy implementation of standardization, and consistency across campus. This new administrative structure was placed under the leadership of Leslye Kornegay, the first Director.

After the creation of Custodial Services Department, the University has faced financial challenges, which has led to envisioning outsourcing of the department’s work at some point. The University’s leadership wondered if it would be beneficial to have cleaning done by a private company. Later on, the University concluded that cleaning could be done in-house more cost effectively than by various external vendors. However, some specific tasks such as pest control, language translation services, window washing and Vendor Management Inventory for cleaning supplies, Custodial Services Department has relied on third-party vendors where feasible instead of hiring additional staff.

Leslye Kornegay led the department of Custodial Services from 2007 to March 2016. Under her leadership, the department has managed to keep up with the needs of the university. As the external consultants revealed in their report, the previous director “seemed not to have produced the most appropriate or efficient working atmosphere at the University.”(2017 External Consultant Report). However, apparently, the consultants acknowledge that Leslye Kornegay put in place the base for a successful department. After she left, in March 2016, Bill Ballard played the role of the interim director and a search committee was designated to hire a new director. In January 2017, Gerald Coleman was hired as the new director of UVM Custodial services. Obviously, as Mr. Coleman assumes his new role, he faced the challenge of a department that needs to be efficiently and strategically structured and organized.
The University of Vermont Custodial Services Department can be presented as one of the most diverse groups of individuals on campus that are almost 200 in number with representation from 22 countries speaking more than 20 different native languages (CSD UVM web page). The Custodial services Department contributes to the impressive diversity of staff at the University of Vermont. However, one of the biggest challenges is the language barrier, English not being the first language for the vast majority of the staff members. The department has supported this diverse workforce by initiating programs to develop and advance its talent pool. The department is committed to hiring and promoting without discrimination or bias and by recognizing the cultural value that diversity brings to the campus community. In addition, CSD staff continues to participate in University trainings, forums, and seminars that relate to the topic of diversity. To overcome the impact of the language barrier on the operations and the staff’s wellbeing, the Department regularly sponsors on-site interpreters to facilitate supervisor led Train-the-Trainer as well as translation support for documents and postings regarding job procedures and safety (2017 Self-study). In the meantime, the Department sponsors the ESL program that gives employees basic language skills that will often be necessary for career progression and staff development.

Even though the diversity of staff at UVM Custodial Services is a source of pride for the department because the University as a community tends to promote diversity and inclusiveness, some customers do not perceive it as a strength for the Department.

During the Administrative Unit review, when the external consultants asked about staff diversity within the department, the customers were not always appreciative of it because of the language barrier. They stated that the major problem within the department is the language barrier. For the customers interviewed, “the concern is that the language barrier is getting in the way of proper trainings, thus creating a communication issue between the staff and the customers… the concern continued with management stating that it is one of the challenges” (2017 External Consultants Report).

For the purpose of other project (my internship in place) and with the input of my colleague frontline custodial supervisors, we put together two lists of ten high performer employees based on the inspections results of their work areas. In other words, we defined the high performer employees based on the cleanliness of their areas of assignment. During the focus group discussions I conducted with high performer custodians, they revealed that they are under the impression that some customers look down on them because of the nature of what they do to earn a living (cleaning).

While interviewing the Director of the Department, he used the terms “low hanging fruit” to refer to CSD because to be hired as custodians, the candidates are not required to have any educational level,
diploma or anything as such. With the customer perception of Custodial Services in a changing fiscal climate, the department seems to be under a constant threat.

**Recommendations**

Based my findings, I am making some recommendations that might inspire the senior leadership:

- Put together a list of the building and the people of contact for each facility
- Work on introducing custodians and supervisors to the customers and establishing an effective communication system first between custodians and the customers then, between the supervisors and the customers.
- Suggest a definition of basic coverage (essential cleaning) to the customers and allow their input. In other words, collaboratively define with the customers what the priorities is in days of storm or staff shortage. That would likely vary from one customer to the next and from one facility to the other.
- Keep the customers informed about projects schedules, snow days’ coverage, staff shortage and types of cleaning to expect in case of staff shortage and a suggestion of catch up plan afterward.
- Share with custodians the weekly or monthly event schedules in the facilities. It will help them better manage their time and provide quality service to the customers in a timely manner.
- Supervisors would gain by getting to know better their team members. Myers Briggs might be an example to explore.
- An effective use of the equipment would help lower the stress and pressure felt on days of staff shortage, snow days. It would be helpful to train staff how beneficial using equipment properly would be.
- Consider hiring floaters (employees who won’t have a designated assigned area and who could be sent anywhere to address staff shortage and absenteeism)
- Relaunch Core Management processes and address the downfall of the current inspection tool that is systematized for all staff and all buildings (2017 External Consultants Report).
- Coach, mentor, train employees and hold them accountable
- Concerning UVM custodial services workforce diversity, I wonder where the department as an organization is located on the continuum of cultural competency. It does not seem to me that UVM custodial services workforce diversity is fully apprehended as an asset. Based on the
anecdote of the “Wisdom of the crowds”, I was taught that workforce diversity is an asset for the simple fact that “collections of agents outperform individuals partially because people see and think about the problems differently.” (Course material of 2/14/2019 about Workforce Diversity and Cultural Competency). In the same vain, I learned that “High-performing teams are both cognitively and demographically diverse.” (Bourke and Dillon, 2018, p. 84). If UVM custodial services teams are not seen as high performing by their customers, then work needs to be done by the leadership team to fully take advantage of the diversity of the teams. This might mean more transparency and more involvement of frontline staff in the decision making process. As I take a close look at the Continuum of Cultural Competency, based on the 2018 customer service survey, the external consultants report and my personal experience, I personally think that as an organization, UVM custodial services is between “Cultural Pre-competence” (explore cultural issues, are committed, assess needs of organization and individuals) and “Cultural Competence” (recognize individual and cultural differences, seek advice from groups, hire cultural unbiased staff). The department as an organization needs to work more on cultural competency because the more culturally competent custodial services teams will be, the higher performing they will become, and the better they will satisfy their customers.

- Write up of the focus group discussions

The topic being “frontline supervisors’ empowerment, in order to avoid climbing the “Ladder of inference” and rushing into conclusions, I decided to hear from the custodial frontline staff. I put together three teams composed of two group of high performer custodians and one group of frontline supervisors. It is important to point out I defined high performer staff based on the core audit scores of their assigned work areas. In this paper, I am sharing the questionnaires followed during the focus group discussions, the composition of the teams as well as the findings. The goal is to utilize the data collected from the discussions with high performers to help select the best practices to influence positively low performers’ productivity. Concerning frontline supervisors’ data collected might help to underline where they need support from senior leadership or in terms of training.

4- Focus Group questionnaire for high performer employees

Opening script

- Thank the audience for their hard work and availability

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• Explain the purpose of the focus group
• Encourage them to be open and
• Assure them of the confidentiality, as they say, “What happens in Vegas stays in Vegas.”

**Operations planning**

• What does quality work look like for you?
• How do time demands affect work quality?
• What safety concerns have arisen for you?
• What makes you the high performer that you are?
• What would you suggest to your supervisor to improve your performance?
  
  How about the performance of your team?
• What tips would you like to share with your teammates to improve their performance?

**Information**

• Is the information being shared with you by your supervisor sufficient? If not, what else do you feel you need to know?
• How would you like information to be shared with you?

**Problem solving**

• How do you deal with staff shortage? (Covering for others when they are off)

5- **Focus group questionnaire for frontline supervisors**

**The Key leadership tasks**

• **Clarifying roles and objectives**
  
  What do you see as your role to be?
  
  Are your subordinates clear on what their roles are?

• **Delegating**
I know we are all feeling overwhelmed with the amount of work we have to do, are there opportunities to delegate work to team leaders or level 2’s?

- **Informing**
  Do you feel like you have the proper information needed to do your job?
  Do you feel that you are able to share information with your subordinates?
  What information would you like to have from our supervisors?
  What information would you like to be able to share with your subordinates?
  How should information best be shared with our subordinates?

- **Operations planning**
  What does quality work look like for you?
  How do time demands affect work quality?
  What safety concerns have arisen for you?
  What makes you the high performer that you are?
  What tips would you like to share with your teammates to improve their performance?

- **Monitoring and Assessing work**
  What motivates your subordinates to do a good job?

- **How is our current monitoring system working?**
- **Do you have some suggestions for ways of improving the monitoring system?**

- **Access to resources**
  What resources would you like to have to do your job better?

- **Access to support**
  What type of support from senior management would you like to have?
  What types of training would you like to have?

6- **Composition of focus groups**

**Group 1 of high performers**
Jelena, Czeslawa, Reuf, Lindita, Osman, La Na, Gita, Nemir, Sofja and Dushanka
**Group 2 of high performers**
Michael White, Dim, Christine, Bhagwat, Chun, Ponleu, Jiechan and Liu

**Group of supervisors**
Bich, Senad, Slavojka, Emir, Isa, Rob and Thomson

**Data Collected**

**Focus Group discussions with high performer employees**

As a facilitator of the discussions, I tried to get the focus group members engage to get their honest answers and feedback. I know that to be engaged and open up, people need to feel relaxed and comfortable in their surroundings. My goal was to create a positive experience for the participants by asking questions that will awaken both their creative and critical sides. Some major findings attracted my attention according to the topics discussed: operation planning, information flow, performance measurement and problem solving (mostly about staff shortages).

- The discussions revealed that high performers customer almost unanimously define quality work referring to customer satisfaction. They agree that, it is the customer who defines what quality is. As a business, they seem better off going with the customer idea for quality because without the customer, the quality of the product or service does not matter. Therefore, to define quality work, we only need to listen carefully and the customer will tell us what is important and what quality means to them.

- The discussions also pointed out the time demand greatly affect work quality. Particularly, in winter season, will snow removal and tracking of salt in the buildings and the regular workload is overwhelming and depressing. Maybe, the department need to redefine what the priorities are.

- The discussions revealed that high performers simply care and take pride in what they do. They said they respect their job.

- The conversations revealed that there is a sort of disconnect between custodial staff and some customers.
• The employees on the focus groups shared that they do not have enough information about the schedules of the events taking place in the buildings they cover. Providing them with weekly or monthly event schedules would help them manage their time.

• The employees on the focus groups pointed out the lack of accountability that is hurting the general.

• The discussions showed that custodians have different interpretations of the term “basics” commonly used by supervisors when assigning tasks on staff shortage days. What do supervisors mean by asking a custodian to do only “basics” because they cannot do everything? We had an interesting discussion about the concept of basics. It could depend on the building, on the shift, whether we are on academic side or residential life and many other variables.

• About problem solving, the discussions were geared toward dealing with staff shortages. How do we get the work done despite the fact that the team is short staffed? Mostly, the answers suggested that the department hires one or two floaters (custodians who will not have a specific area of assignment, who will flexible)

• The discussions revealed that frontline supervisors don not seem empowered enough to deal with unionized employees who think they can do whatever they want and be exonerated.

• About Core audits, the focus groups discussions showed the inspection tool used does not take into account the specificity of each building inspected. The custodians in the focus groups think that there is a mismatch between the numbers and the reality, which hardly convince of the effectiveness of the core audits. They said in substance that the auditors would find staff no matter what because they come to see staff.

**Analysis and recommendations**

Based on these major findings, I made some recommendations that might inspire the senior leadership:

• Put together a list of the building and the people of contact for each facility

• Work on introducing custodians and supervisors to the customers and establishing an effective communication system first between custodians and the customers then, between the supervisors and the customers.

• Suggest a definition of basic coverage (essential cleaning) to the customers and allow their input. In other words, collaboratively define
- Keep the customers informed about projects schedules, snow days’ coverage, staff shortage and types of cleaning to expect in case of staff shortage and a suggestion of catch up plan afterward.
- Share with custodians the weekly or monthly event schedules in the facilities. It will help them better manage their time and provide quality service to the customers in a timely manner.
- Supervisors would gain by getting to know better their team members. A tool such as Myers Briggs might be helpful.
- An effective use of the equipment would help lower the stress and pressure felt on days of staff shortage, snow days. It would be helpful to train staff how beneficial using equipment properly would be.
- Consider hiring floaters (employees who won’t have a designated assigned area and who could be sent anywhere to address staff shortage and absenteeism)
- Relaunch Core Management processes and address the downfall of the current inspection tool that is systematized for all staff and all buildings. (2017 External consultants Report)
- Coach, mentor, train employees and hold them accountable

Focus group discussions with frontline supervisors

After conducting focus group discussions with high performer custodial frontline staff, hearing from the frontline supervisors appeared necessary. The goal was to hear their challenges as leaders when performing their tasks of clarifying roles and objectives, delegating, informing, operation planning, monitoring and assessing work, problem solving and finally managing technical innovation and creativity. The other goal was to hear about their access of power through access of resources, access of information and access of support. The ultimate goal was to locate any issue preventing frontline supervisors’ empowerment and figure out ways to overcome whatever challenges the frontline supervisors are facing.

Regarding clarifying roles and objectives, the UVM Custodial frontline supervisors see themselves as coaches or leaders providing instructions, training and supplies to their team members to allow them to perform their daily tasks. They are realizing their role is changing increasing administrative tasks, which tends to lower their field time with staff. For instance, they were asked to inventory and order supplies, and they were even asked to test expired cleaning chemicals or remove dead animals. They feel like they do not have a precise job description with a large scope of work. They reported that their subordinates understand and know their job description, but some are just not dedicated to the tasks certainly because
of the lack of work rule enforcement by the senior leadership and the heavy weight of the Union on management (the fear of grievances, fear to confront the Union). For them, some staff members “play games” knowing that supervisors are powerless. Frontline supervisors almost have to beg the custodians to perform their tasks.

In regards to delegating, frontline supervisors responded that it is really based on trust and it varies from one team to the other. The delegation is encouraged for team leads and Level 2 custodians, but is hard to implement. The team leads are the immediate assistants of the supervisors, but the constant staff shortages do not give the opportunity to the leads to play fully their role because they are always covering for the absentees. Consequently, such a situation allows a limited amount of time dedicated to train the team leader to successful carry out a delegation. With the staff shortage, the team leaders become like other custodians instead of performing basic training to the other custodians.

In general, when asked about informing the supervisors agreed that they feel well informed and think most work related information is shared with staff and feedback well received. However, in few instances such as updates about staff work restrictions often dealt with at the main office level, they mentioned a lack of information.

In regards to operations planning, we laid out three criteria of appreciation: quality, safety and time demands. When asked about operations planning, the frontline supervisors replied about quality that it means completing all tasks and be able to feel proud of the work done and make the customers happy. Some defined quality as work well done the first time. About time demands, the frontline supervisors find them stressed in some instances such as snow (where the priority is clearing snow) and days of staff shortage where workers are asked to prioritize work. Doing so requires a selection of tasks according to their importance, which negatively affects the quality cleanliness of the entire facility to be cleaned. For instance, some facilities have an impressive numbers of classrooms to get ready most of the time before 8am, which is hardly achievable on busy days. In general, they agreed that time demands affect work quality and may even raise some safety concerns. The frontline supervisors also mentioned that some staff wasting time before starting the actual work worsen the effects of time demands on quality work. About operations planning and safety, the concerns are related to staff finding some buildings unlocked when they arrive at the beginning of the morning shift. The staff members are also concerned about some unknown customers asking them to open doors for them. This puts them in a situation of dilemma between safety and customer service. Refusing to open the door may be seen as a bad customer service whereas opening the door may amount to a safety issue.
Regarding monitoring and assessing work, the frontline supervisors said that they think that the best workers will do their best job when they feel their work is appreciated and when they feel respected. They added that being in a union environment limit their monitoring ability. In many cases, when the supervisors check on staff’s work, they feel frustrated and untrusted.

To the question about access to resources and support, the frontline supervisors almost unanimously responded that they have the right supplies, equipment and training. They also mentioned that the soft skill training sessions that they started a few months ago are helpful. The frontline supervisors would like to see more support from the senior leadership. They need to set the tone, enforce the work rules and make it clear to the frontline staff that being members of the union and being high performer employees are not exclusive. In other words, one can be a union employee and still be a high performer employee guided by the Department’s Our Common Ground Values, which are Integrity, Commitment, Accountability, Respect and Excellence.

Throughout their answers, the frontline supervisors kept bringing up concerns about the Core audits. As mentioned during the focus groups discussions with high performer custodians, the supervisors also reported that the inspection tool used is much systematized for all staff and all areas and does not take into account the specificity of each building inspected. This hardly gives an understanding of how staff are performing or how buildings are going to be kept cleaned. In addition, they think that it would be great if the Core audit could be performed entirely by a third party without getting the supervisors’ involvement for more impartiality. They will still be conducting the weekly inspections and following up with the frontline staff to address the deficiencies.

**Analysis and recommendations**

From the findings, we can see that UVM frontline supervisors have a very limited margin of maneuver. We can assert that the frontline supervisors do not struggle much with some of their tasks such as clarifying roles/ objectives and planning and others. However, it is certain that they feel more challenged with delegating, monitoring and assessing work. Most importantly, even though there have been at lot of improvement lately, the frontline supervisors seem to be not fully trusted and not fully supported by the senior leadership. Besides, the fear of the Union has led to an over protection of the frontline staff to the detriment of the work rules and procedures that are hardly enforced, which leaves the supervisors powerless. As we know, a rule that is not enforced or enforceable will not be effective.
Based on the focus group discussions, I suggest the following recommendations to set the stage for frontline supervisors’ empowerment:

- Setting the tone by redefining UVM Custodial Services Department’s organizational culture, which promote the Department’s Common Ground values (Integrity, Commitment, Accountability, Respect and Excellence) and clearly state who we are as an organization. Are we task-oriented or people-oriented?

- Addressing the lack of sufficient cultural competency within the entire Department including the senior leadership team.

- Addressing the lack of emotional intelligence within the entire Department including the senior leadership team. Emotional intelligence is defined as the capacity to be aware of, control, and express one's emotions, and to handle interpersonal relationships judiciously and empathetically. It is seen, as is the key to both personal and professional success.

- Designing a cleaning schedule for regular days (full staffed) and a backup schedule for days of staff shortage.

- The frontline supervisors need to know their team members and develop with each them a professional relationship accordingly (Myers Briggs could be an option to explore).

- Put in place a system that helps frontline supervisor to list the people of contact of the buildings that they are in charge of and build a productive relationship with them. The frontline supervisor need to keep the customers informed about the regular cleaning schedule as well project schedule

- Define an onboarding process for frontline supervisors as well as frontline staff

- As part of the onboarding process, initiate an indoctrination program for frontline supervisors along with UVM new employee orientation for an effective frontline supervisor onboarding (the indoctrination program should be customer service-oriented).
• As part of the onboarding process, initiate an indoctrination program for frontline staff along with UVM new employee orientation for an effective frontline staff onboarding (the indoctrination program should be customer service-oriented).

• Formally introduce new supervisors to the customers (managers responsibility)

• Train frontline supervisors on training, coaching and mentoring frontline staff

• Re-initiate “the train-the-trainer” (TTT) program for frontline supervisors. TTT is an education model whereby individuals identified to teach, mentor or train others attend training themselves.

• Encourage supervisor to exercise more mindfulness and always give feedback (positive or negative). The tip is to treat staff, as we would like to be treated (respect).

• It is important that frontline supervisors revisit frontline staff members job or position description with them if needed

• It is very important that frontline supervisors thoroughly document any performance or behavioral issue encountered with staff.

• Train, coach, mentor and sponsor but hold employees accountable through the implementation and the enforcement of the work rules and procedures in place.

• Frontline supervisors need to demystify the Union by studying, mastering and applying the terms of the UE contract in good faith, as it was negotiated.

• Reward supervisory zones who exemplify the qualities of the Department’s Common Ground’s award (Integrity, Commitment, Accountability, Respect and Excellence)
• Reward the staff members who exemplify the qualities of the Department’s Common Ground’s award (Integrity, Commitment, Accountability, Respect and Excellence) and nominate them for The University President’s Our Common Ground Staff Award.

### Academic Zone 1 buildings Customers of contact

<table>
<thead>
<tr>
<th>UVM Cust Zone</th>
<th>Building</th>
<th>Contact</th>
<th>Phone</th>
<th>E-Mail</th>
<th>Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Welcome Center/Visitor Center</td>
<td>Carolyn Desaihne</td>
<td>68593</td>
<td><a href="mailto:Carolyn.Desaihne@uvm.edu">Carolyn.Desaihne@uvm.edu</a></td>
<td>Admission</td>
</tr>
<tr>
<td>1</td>
<td>Welcome Center/Visitor Center</td>
<td>Muffy Deslaurier</td>
<td>63373</td>
<td><a href="mailto:muffy.deslaurier@uvm.edu">muffy.deslaurier@uvm.edu</a></td>
<td>Admission</td>
</tr>
<tr>
<td>1</td>
<td>322 South Prospect Street</td>
<td>Mariamthera Richards</td>
<td>65477</td>
<td><a href="mailto:Mariamthera.Richards@uvm.edu">Mariamthera.Richards@uvm.edu</a></td>
<td>Continuing Education</td>
</tr>
<tr>
<td>1</td>
<td>322 South Prospect Street</td>
<td>Lora Phillips</td>
<td>65817</td>
<td><a href="mailto:Lora.Phillips@uvm.edu">Lora.Phillips@uvm.edu</a></td>
<td>Continuing Education</td>
</tr>
<tr>
<td>1</td>
<td>460 South Prospect Street</td>
<td>Csathy Cody-Hudson</td>
<td>64359</td>
<td><a href="mailto:Csathy.Cody-Hudson@uvm.edu">Csathy.Cody-Hudson@uvm.edu</a></td>
<td>Continuing Education</td>
</tr>
<tr>
<td>1</td>
<td>Grassenmount</td>
<td>Andrew Florelling</td>
<td>63407</td>
<td><a href="mailto:Andrew.Florelling@uvm.edu">Andrew.Florelling@uvm.edu</a></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Grassenmount</td>
<td>Marlene Powers</td>
<td>63247</td>
<td><a href="mailto:Marlene.Powers@uvm.edu">Marlene.Powers@uvm.edu</a></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Alummi House</td>
<td>Patrick O.Maguire</td>
<td>63612</td>
<td><a href="mailto:Patrick.O.Maguire@uvm.edu">Patrick.O.Maguire@uvm.edu</a></td>
<td>UVM Foundation</td>
</tr>
<tr>
<td>1</td>
<td>Police Services</td>
<td>Dispatch</td>
<td>63473</td>
<td><a href="mailto:Dispatch@uvm.edu">Dispatch@uvm.edu</a></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Rubenstein</td>
<td>Steve Chett</td>
<td>802-858-2153</td>
<td><a href="mailto:Steve.Chett@uvm.edu">Steve.Chett@uvm.edu</a></td>
<td>Rubenstein Sch Env &amp; Nat Res</td>
</tr>
<tr>
<td>1</td>
<td>Rubenstein</td>
<td>Frances Iannacci</td>
<td>835-347-5502</td>
<td><a href="mailto:Frances.Iannacci@uvm.edu">Frances.Iannacci@uvm.edu</a></td>
<td>Rubenstein Sch Env &amp; Nat Res</td>
</tr>
<tr>
<td>1</td>
<td>Hort Farm</td>
<td>Andy Besette</td>
<td>802-598-2476</td>
<td><a href="mailto:Andy.Besette@uvm.edu">Andy.Besette@uvm.edu</a></td>
<td>Plant &amp; Animal Biology Fclty</td>
</tr>
<tr>
<td>1</td>
<td>Billings Addition</td>
<td>Scott Miller</td>
<td>63273</td>
<td><a href="mailto:Scott.L.Miller@uvm.edu">Scott.L.Miller@uvm.edu</a></td>
<td>Libraries-Deans Ofc</td>
</tr>
<tr>
<td>1</td>
<td>Billings Center</td>
<td>Paul Goldberg</td>
<td>65800</td>
<td><a href="mailto:Paul.Goldberg@uvm.edu">Paul.Goldberg@uvm.edu</a></td>
<td>Professional Development</td>
</tr>
<tr>
<td>1</td>
<td>Billings Center</td>
<td>Amy M. Suprenant</td>
<td>64501</td>
<td><a href="mailto:amy.Suprenant@uvm.edu">amy.Suprenant@uvm.edu</a></td>
<td>CatCard Services Center</td>
</tr>
<tr>
<td>1</td>
<td>Billings Center</td>
<td>Amy E. Ville</td>
<td>63086</td>
<td><a href="mailto:Amy.Ville@uvm.edu">Amy.Ville@uvm.edu</a></td>
<td>Office of Compliance and Audit</td>
</tr>
<tr>
<td>1</td>
<td>Billings Ira Allen Chapel II</td>
<td>Travis Bartlett</td>
<td>62410</td>
<td><a href="mailto:tbartlett@uvm.edu">tbartlett@uvm.edu</a></td>
<td>Tech Team Support Services</td>
</tr>
<tr>
<td>1</td>
<td>Billings - Lecture Hall</td>
<td>Heather Cochran</td>
<td>65664</td>
<td><a href="mailto:heather.cochran@uvm.edu">heather.cochran@uvm.edu</a></td>
<td>University Event Services</td>
</tr>
<tr>
<td>1</td>
<td>208 Flynn Ave/ Friezer Farm</td>
<td>Elsasya C Mellas-Hulett</td>
<td>60777</td>
<td><a href="mailto:Elsasya.Mellas@uvm.edu">Elsasya.Mellas@uvm.edu</a></td>
<td>Libraries-Deans Ofc</td>
</tr>
<tr>
<td>1</td>
<td>209 Flynn Ave/ Friezer Farm</td>
<td>Sarah Nightingale</td>
<td>68984</td>
<td><a href="mailto:Sarah.Nightingale@uvm.edu">Sarah.Nightingale@uvm.edu</a></td>
<td>TCO</td>
</tr>
<tr>
<td>1</td>
<td>321 Ryan Street, Essex Jet Fort Ethan Allen</td>
<td>Karen Lesure</td>
<td>67233</td>
<td><a href="mailto:karen.lesure@uvm.edu">karen.lesure@uvm.edu</a></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Howe Memorial Library</td>
<td>Scott Miller</td>
<td>63273</td>
<td><a href="mailto:Scott.L.Miller@uvm.edu">Scott.L.Miller@uvm.edu</a></td>
<td>Libraries-Deans Ofc</td>
</tr>
<tr>
<td>1</td>
<td>Terry Park</td>
<td>Andy Evans</td>
<td>603-988-5151</td>
<td><a href="mailto:Andy.Evans@uvm.edu">Andy.Evans@uvm.edu</a></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>South Zone</td>
<td>Gary Campagna</td>
<td>64341</td>
<td><a href="mailto:gary.campagna@uvm.edu">gary.campagna@uvm.edu</a></td>
<td>Physical Plant</td>
</tr>
</tbody>
</table>

### Academic Zone 1 daily schedule

I work with a team of nine members to service thirteen buildings on site and off site. The team has been short staffed for a few months with two vacancies. The following is a draft of what the staff members’ schedules look like on normal days (fully staffed). On days of staff shortages, we rely on a back plan that I share as well in this section. It important thing is to ensure the continuity of service for customers despite varying levels of staffing. It is efficient while experiencing staff shortage to communicate with customers and provide them with basic service (classrooms, bathrooms, trash/recycle…) in the hope of catching up later on. There are exceptional days where due to some events taking place on campus, such as staff appreciation luncheon day, snow storm days, staff cannot follow the usual schedule. On these
days, supervisors needs to adjust the schedules and redefine priorities. For instance, during the winter season, on days of snow storms, the primary focus should be snow removal, clearing buildings entrances, ramps, fire escapes, and other emergency exits.

**UVM Custodial Services Department**

**Academic Zone 1**

**Employee Level 2: Renf Oric and Gjergji Dede**

**Supervisor: Issouf Ouattara**

<table>
<thead>
<tr>
<th>Buildings</th>
<th>Room</th>
<th>Day</th>
<th>Tasks</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>South Zone</td>
<td>Bathroom, Break room, Computer room, shop</td>
<td>M, Tue, Wed,</td>
<td>Remove trash/recycle, clean the floor- wipe, vacuum, clean and sanitize furniture, high touch areas, mop the floor, restock dispensers (paper towel, hand soap, hand sanitizer, toilet paper), clean sinks, toilets, urinals, mirrors and others.</td>
<td>Daily</td>
</tr>
<tr>
<td></td>
<td>Offices</td>
<td>Thurs, Fri</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Tue or Wed</td>
<td></td>
<td>Once a week</td>
</tr>
<tr>
<td>Rubenstein Center</td>
<td>Bathrooms (1st and 2nd Floor), Kitchenette (2nd Floor), Classroom (2nd Floor), Corridors, elevator, stairwells</td>
<td>M, Tue, Wed,</td>
<td>Remove trash/recycle, clean the floor- wipe, vacuum, clean and sanitize furniture, high touch areas, mop the floor, restock dispensers (paper towel, hand soap, hand sanitizer, toilet paper), clean sinks, toilets, urinals, mirrors and others.</td>
<td>Daily</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Thurs, Fri</td>
<td></td>
<td></td>
</tr>
<tr>
<td>322 South Pros. Street</td>
<td>Restrooms, Kitchenette, reception area, copy room</td>
<td>M, Tue, Wed,</td>
<td>Remove trash/recycle, clean the floor- wipe, vacuum, clean and sanitize furniture, high touch areas, mop the floor, restock dispensers (paper towel, hand soap, hand sanitizer, toilet paper), clean sinks, toilets, urinals, mirrors and others.</td>
<td>Daily</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Thurs, Fri</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Offices Rooms and conference room</td>
<td>Thursday</td>
<td></td>
<td>Once a week</td>
</tr>
<tr>
<td>Buildings</td>
<td>Room</td>
<td>Day</td>
<td>Tasks</td>
<td>Frequency</td>
</tr>
<tr>
<td>---------------------------</td>
<td>---------------------------------------</td>
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<tr>
<td>460 and 466 South Pros. St.</td>
<td>Restrooms, copy areas</td>
<td>M, Tue, Wed, Thurs, Fri</td>
<td>Remove trash/recycle, clean the floor- wipe, vacuum, clean and sanitize furniture, high touch areas, mop the floor, restock dispensers (paper towel, hand soap, hand sanitizer, toilet paper), clean sinks, toilets, urinals, mirrors and others.</td>
<td>Daily</td>
</tr>
<tr>
<td></td>
<td>Offices and conference room</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Horticulture Farm</td>
<td>Classroom, restrooms</td>
<td>Monday, Wed, Fri (in summer and 2 days after summer)</td>
<td>Remove trash/recycle, clean the floor- wipe, vacuum, clean and sanitize furniture, high touch areas, mop the floor, restock dispensers (paper towel, hand soap, hand sanitizer, toilet paper), clean sinks, toilets, urinals, mirrors, door frames, air vents and others.</td>
<td>Once a week</td>
</tr>
<tr>
<td></td>
<td>Offices</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TCO and AMR</td>
<td>Classroom, offices, restrooms</td>
<td>Wednesday or Thursday</td>
<td>Remove trash/recycle, clean the floor- wipe, vacuum, clean and sanitize furniture, high touch areas, mop the floor, restock dispensers (paper towel, hand soap, hand sanitizer, toilet paper), clean sinks, toilets, urinals, mirrors, door frames, air vents and others.</td>
<td>Once a week</td>
</tr>
<tr>
<td></td>
<td>Office</td>
<td></td>
<td></td>
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<tr>
<td>Freezer Farm</td>
<td>Restrooms, open space</td>
<td>Wednesday</td>
<td>Remove trash/recycle, clean the floor- wipe, vacuum, clean and sanitize furniture, high touch areas, mop the floor, restock dispensers (paper towel, hand soap, hand sanitizer, toilet paper), clean sinks, toilets, urinals, mirrors, door frames, air vents and others.</td>
<td>Once a week</td>
</tr>
</tbody>
</table>

**UVM Custodial Services Department**

*Academic Zone 1*

*Employee Level 2: Dannn Chen*

*Supervisor: Issouf Ouattara*
UVM Custodial Services Department
Academic Zone 1
Employee Level 2: Gjergji Dede and Amy Kinville
Supervisor: Issouf Ouattara

<table>
<thead>
<tr>
<th>Buildings</th>
<th>Room</th>
<th>Day</th>
<th>Tasks</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grass Mount</td>
<td>Bathrooms, Reception areas, Kitchenette and employees break space</td>
<td>M, Tue, Wed,</td>
<td>Remove trash/recycle, clean the floor wipe, vacuum, clean</td>
<td>Daily</td>
</tr>
<tr>
<td></td>
<td>Offices and conference rooms</td>
<td>Thrus, Fri</td>
<td>and sanitize furniture, high touch areas, mop the floor,</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>restock dispensers (paper towel, hand soap, hand sanitizer,</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>toilet paper), clean sinks, toilets, urinals, mirrors and others.</td>
<td></td>
</tr>
<tr>
<td>Alumni House</td>
<td>Bathrooms, Reception area, Kitchenettes,</td>
<td>Tue, Wed, Thurs</td>
<td>Remove trash/recycle, clean the floor wipe, vacuum, clean</td>
<td>Once a week</td>
</tr>
<tr>
<td></td>
<td>Pavilion, lounges and other public spaces</td>
<td></td>
<td>and sanitize furniture, high touch areas, mop the floor,</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>restock dispensers (paper towel, hand soap, hand sanitizer,</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>toilet paper), clean sinks, toilets, urinals, mirrors and others.</td>
<td></td>
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</tbody>
</table>

PS: Gjergji Dede covers Police Services, Med Ed, Howe Memorial Library, Billings, Ira Allen Chapel and other event venues on Saturdays from 6am to 2:30pm. He has Sundays and Mondays off.
### UVM Custodial Services Department
#### Academic Zone 1
#### Employee Level 2: Bhagwat Poudyel
#### Supervisor: Issouf Ouattara

<table>
<thead>
<tr>
<th>Buildings</th>
<th>Room</th>
<th>Day</th>
<th>Tasks</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Billings Ira Allen Lecture Hall</td>
<td>Classrooms (Lecture Hall and MLK), Bathrooms, Hallways, stairs</td>
<td>Monday, Tue, Wed, Thurs, Fri</td>
<td>Remove trash/recycle, clean the floor, wipe, vacuum, clean and sanitize furniture, high touch areas, mop the floor, restock dispensers (paper towel, hand soap, hand sanitizer, toilet paper), clean sinks, toilets, urinals, mirrors and others</td>
<td>Daily</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Daily</td>
<td></td>
</tr>
<tr>
<td>Ira Allen Chapel</td>
<td>Computer Clinic I117A, 2nd Floor Stage and Auditorium, Chapel Basement restrooms Classroom Room 165</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Billings Ad</td>
<td>Office Rooms B153-B159, 161-164, public in offices, Nursing Room (1st Floor)</td>
<td></td>
<td>Remove trash/recycle, clean the floor, wipe, vacuum, clean and sanitize furniture, high touch areas, mop the floor, restock dispensers (paper towel, hand soap, hand sanitizer, toilet paper), clean sinks, toilets, urinals, mirrors and others</td>
<td>Once a week and Daily for public space</td>
</tr>
<tr>
<td></td>
<td>Special Collections on 2nd Floor Rooms B201-B202, Kitchennette</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Billings Library</td>
<td>B300, B307, B308/North Louage, Marsh Louage, and Apse</td>
<td></td>
<td></td>
<td>Daily</td>
</tr>
<tr>
<td>Billings</td>
<td>4th Floor office Rooms B400-B409</td>
<td></td>
<td></td>
<td>Once a week</td>
</tr>
</tbody>
</table>

**PS:** Bhagwat Poudyel covers Police Services, Med Ed, Howe Memorial Library, Billings, Ira Allen Chapel and other event venues on Saturdays from 6am to 2:30pm. He has Fridays and Saturdays off.
## UVM Custodial Services Department

### Academic Zone 1

**Employee Level 2: Christine Knight**  
**Supervisor: Issouf Onattara**

<table>
<thead>
<tr>
<th>Buildings</th>
<th>Room Description</th>
<th>Day</th>
<th>Tasks</th>
<th>Frequency</th>
</tr>
</thead>
</table>
| **Patrick**  
  **Main Level** | Patrick Lobby, lobby restrooms, Patrick East & West Breezeways | M, Tue, Wed, Thurs, Fri | Monitor and empty trash as needed/maintain water fountains/vending, Pick up trash around entrances, keep entrance area clean and debris free, including door glass, Touch up entry matting as needed, monitor throughout shift/touch up as needed/ ensure products are stocked, Monitor entryways/clean entry glass/touch up entry matting, | Daily       |
<p>|            | Campus Recreation offices (Dance Studio), Athletic performance offices | Mondays      | Dust and Vacuum / spot clean walls/doors/glass                      | Once a week |
|            |                          | Friday       | Dust and Vacuum / spot clean walls/doors/glass                      | Once a week |
|            | Athletic Directors Office Suite | M, Tue, Wed, Thurs, Fri | Dust and Vacuum / spot clean walls/doors/glass                      | Daily       |</p>
<table>
<thead>
<tr>
<th>Location</th>
<th>Days</th>
<th>Tasks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Director Office Suite reception</td>
<td>M, Tue, Wed, Thurs, Fri</td>
<td>Monitor and spot clean as needed</td>
</tr>
<tr>
<td>Classrooms 117/118</td>
<td></td>
<td>Monitor and spot clean as needed</td>
</tr>
<tr>
<td>Public Restroom Room 114</td>
<td></td>
<td>Monitor throughout shift/ touch up as needed/ ensure products are stocked</td>
</tr>
<tr>
<td>All areas</td>
<td></td>
<td>Monitor/empty Central Trash/Recycling</td>
</tr>
<tr>
<td>Patrick 2nd Level Veranda Hallway</td>
<td>M, Tue, Wed, Thurs, Fri</td>
<td>Monitor trash/Recycling and empty as needed</td>
</tr>
<tr>
<td>2nd Floor offices</td>
<td>Tuesdays</td>
<td>Spot clean glass panels as needed</td>
</tr>
<tr>
<td>Ticket Office</td>
<td>M, Tue, Wed, Thurs, Fri</td>
<td>Dust Mop/Damp Mop/Vacuum hallway</td>
</tr>
<tr>
<td>Student Study Area/Computer Lab (Room 223)</td>
<td>M, Tue, Wed, Thurs, Fri</td>
<td>Dust and Vacuum</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Check Daily/Spot vacuum as needed</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Empty Trash/Recycling: Clean desk and table tops/dust/vacuum/spot clean carpet as needed</td>
</tr>
</tbody>
</table>

| Frequency |
**Coverage backup plan in case of staff shortage:**

We should always provide basic coverage despite staff attendance. Basic coverage usually consists of trash/recycle removal, restroom cleaning, reception areas, copy rooms, kitchenettes, lounges, staff break areas, etc. Here are some examples of scenarios for Zone 1:

- In case Joan Bruley is off, Gjergji should cover the basics at Grass Mount

<table>
<thead>
<tr>
<th>Location</th>
<th>Days</th>
<th>Responsibilities</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student Study Area Offices</td>
<td>Tuesdays</td>
<td>Dust and Vacuum</td>
<td>Once a week</td>
</tr>
<tr>
<td>Printer Area</td>
<td>M, Tue, Wed, Thurs, Fri</td>
<td>Empty trash/recycling/vacuum as needed, Monitor during shift as possible, Check/Vacuum/Trash/Dust as needed, Monitor/spot clean/stock</td>
<td>Daily</td>
</tr>
<tr>
<td>Staff Break Room (022), Public Locker Rooms, Hall of Fame Room (004), Restroom 041</td>
<td>M, Tue, Wed, Thurs, Fri</td>
<td>Spot Clean, Monitor during shift as possible, Check/Vacuum/Trash/Dust as needed, Monitor/spot clean/stock</td>
<td>Daily</td>
</tr>
<tr>
<td>Office #001, Operations Office (040)</td>
<td>Flexible</td>
<td>Dust and Vacuum, Dust Mop/Mop dust</td>
<td>Once a week</td>
</tr>
<tr>
<td>Entrance, Lobby, Restrooms, 2nd Floor lobby/vending</td>
<td>M, Tue, Wed, Thurs, Fri</td>
<td>Monitor/empty trash/recycling as needed/spot clean floor/maintain entry door glass, Monitor restrooms throughout shift/ Spot clean/stock supplies, Dust/Vacuum, Monitor trash/recycling</td>
<td>Daily</td>
</tr>
<tr>
<td>Office Suite (101)</td>
<td>Wed</td>
<td>Dust/Vacuum</td>
<td>Once a week</td>
</tr>
<tr>
<td>Gutterson</td>
<td>M, Tue, Wed, Thurs, Fri</td>
<td>Monitor/Spot Clean/remove Trash/Recycling, Check Daily/Spot clean as needed Empty trash/recycling/vacuum</td>
<td>Daily</td>
</tr>
<tr>
<td>Bostwick Room (#218), Bostwick Kitchen (221), Gutterson Office Hallway</td>
<td>Fri</td>
<td>Dust/Vacuum</td>
<td>Daily</td>
</tr>
<tr>
<td>Gutterson Offices</td>
<td>Fri</td>
<td>Dust/Vacuum</td>
<td>Daily</td>
</tr>
</tbody>
</table>
• In case Gjergji is out, Joan should cover basics at the Alumni House
• In case Reuf is out, Bhagwat and Gjergji should cover Reuf’s areas (South Zone, 322, 460, 466 South Pros, Rubenstein, Horticulture Farm)
• In case Danna is off, Reuf and Gjergji should cover Danna’s areas (Welcome Center and Howe Memorial Library)
  • In case Bhagwat is off, Christine and Danna should cover Ira Allen Chapel, Billings Addition, Billings Library area
  • In case Christine is off, if need be Reuf, Bhagwat and/or Gjergji should services the Restrooms and the Fitness Center at PFG
• In all cases, Amy serves as a floater
• In case of snow storm, we split the team into two groups:

  ✓ **Group 1**: Amy, Gjergji, Reuf, and Danna should cover snow removal at Grass Mount, Alumni House, Welcome Center, 322, 460, 466 South Prospect Street, Howe Library
  ✓ **Group 2**: Bhagwat, Christine, Vacancy 1 and Vacancy 2: Billings and Ira Allen Chapel

It is important to have a written schedule for each employee as well as a written back up plan to ensure efficiency and continuity of service.

**Conclusion**

In sum, as I mentioned it earlier, it would be extremely pretentious to claim that the results of this internship will suddenly empower the UVM Facility Services frontline supervisors. I envision frontline supervisors’ empowerment as an ongoing process that will depend on many variables, such as frontline supervisors themselves and the senior leadership team. An organizational culture that promotes a team effort and learning process would further empower not only frontline supervisors, but also frontline staff.
References

- Focus group discussions with UVM Custodial Services employees


- PA 302 Course material of 2/14/2019 about Workforce Diversity and Cultural Competency

- Survey based on a selection of 15 categories of the Mc Kinsey Assessment Capacity Grid with the senior leadership team of UVM Department of Custodial Services

- The 2017 UVM Custodial Services Administrative Unit Review Self-study


- University of Vermont, Custodial services (2016), *the custodial services director welcomes you*. Retrieved from http://www.uvm.edu/custodial/?Page=director.htm


- UVM Custodial Services 2018 Customer Service Survey and Results.
Appendix P: Selection of fifteen categories of the Mc Kinsey Capacity Assessment Grid

Capacity Assessment Grid Analysis (selection of 15 categories of the Mc Kinsey Capacity Assessment Grid)

<table>
<thead>
<tr>
<th>I. ASPIRATIONS</th>
<th>1 Clear need for increased capacity</th>
<th>2 Basic level of capacity in place</th>
<th>3 Moderate level of capacity in place</th>
<th>4 High level of capacity in place</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mission</td>
<td>No written mission or limited expression of the organization’s reason for existence; lacks clarity or specificity; either held by very few in organization or rarely referred to</td>
<td>Some expression of organization’s reason for existence that reflects its values and purpose, but may lack clarity; held by only a few; lacks broad agreement or rarely referred to</td>
<td>Clear expression of organization’s reason for existence which reflects its values and purpose; held by many within organization and often referred to</td>
<td>Clear expression of organization’s reason for existence which describes an enduring reality that reflects its values and purpose; broadly held within organization and frequently referred to</td>
</tr>
</tbody>
</table>

Custodial Services Mission:

“We provide the university with a clean, safe, and healthy environment in which to live, learn, and work.”

(Retrieved from the department’s webpage)

Concretely, to serve this mission, Custodial Services’ operational team is divided into four major work groups: Academic & Administrative, Residential Life, Davis Center, and Athletics. The staff members working in these work groups are responsible for daily cleaning to ensure the health and safety of campus’ facilities. On daily basis, the areas the custodial staff members cover include restrooms, fitness areas, patios, entryways, kitchens, hallways, lounges, event spaces, labs, classrooms, dining areas, elevators, and stairwells. On weekly basis, they clean office spaces and departmental conference areas. In addition, they provide periodic heavy floor care and window cleaning. The staff members are also responsible for reporting building and equipment repairs that are noticed while performing their other duties. During winter, custodial Services staff are responsible for snow removal at building entrances, handicap ramps, fire escapes, emergency exits, sidewalks and others. Besides, Custodial Services is in charge of pest and animal control as well as trash and recycling in many areas across campus. (Custodial Services, Administrative Unit Review, 2017)

The mission statement is posted in the department common areas such as offices, the conference room, staff break rooms and the main office lobby. The mission statement is also referred whenever need be
mostly during staff meeting and other gatherings. During our interview with the Department’s Director said, that part of his role is to ensure that the organization’s mission and purpose are used to guide and align practices.

**Sources:** Interview of the Director Gerald Coleman, the Administrative Unit Review, Self-study conducted and revised on January 9, 2017, The UVM Custodial department web page

<table>
<thead>
<tr>
<th>Vision-Clarity</th>
<th>1 Clear need for increased capacity</th>
<th>2 Basic level of capacity in place</th>
<th>3 Moderate level of capacity in place</th>
<th>4 High level of capacity in place</th>
</tr>
</thead>
<tbody>
<tr>
<td>Little shared understanding of what organization aspires to become or achieve beyond the stated mission</td>
<td>Somewhat clear or specific understanding of what organization aspires to become or achieve; lacks specificity or clarity; held by only a few; or “on the wall,” but rarely used to direct actions or set priorities</td>
<td>Clear and specific understanding of what organization aspires to become or achieve; held by many within the organization and often used to direct actions and set priorities</td>
<td>Clear, specific, and compelling understanding of what organization aspires to become or achieve; broadly held within organization and consistently used to direct actions and set priorities</td>
<td></td>
</tr>
</tbody>
</table>

**Custodial Services Vision:**

The UVM Custodial Services is committed to lead its industry in customer satisfaction, professionalism, quality, sustainability, safety, and employee development without losing sight of its fiscal responsibility. The department is engaged to service its customers with the "I Care" spirit: Integrity, Commitment, Accountability, Respect, and Excellence. Guided by its commitment to diversity, social justice, and its Common Ground, it will value and embrace individual differences. Its empowered staff, continuous improvement, green initiatives, and environmental sustainability will be the measure of its success. (Custodial Services, Administrative Unit Review, 2017) When I started exchanging with the Director, Mr. Coleman, he introduced himself as someone who is working on developing a vision and strategy and implement procedures that are already in place. He once said that is not the type to come and reinvent the wheel. That is to say to some extent that “if it not broken, don’t fix it”.
Sources: Interview of the Director Gerald Coleman, The Administrative Unit Review, Self-study conducted and revised on January 9, 2017.

<table>
<thead>
<tr>
<th>Overarching goals</th>
<th>1 Clear need for increased capacity</th>
<th>2 Basic level of capacity in place</th>
<th>3 Moderate level of capacity in place</th>
<th>4 High level of capacity in place</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vision (if it exists) not explicitly translated into small set of concrete goals, though there may be general (but inconsistent and imprecise) knowledge within organization of overarching goals and what it aims to achieve</td>
<td>Vision translated into a concrete set of goals; goals lack at least two of following four attributes: clarity, boldness, associated metrics, or time frame for measuring attainment; goals known by only a few; or only occasionally used to direct actions or set priorities</td>
<td>Vision translated into small set of concrete goals, but goals lack at most two of following four attributes: clarity, boldness, associated metrics, or time frame for measuring attainment; goals are known by many within organization and often used by them to direct actions and set priorities</td>
<td>Vision translated into clear, bold set of (up to three) goals that organization aims to achieve, specified by concrete to measure success for each criterion, and by well-defined time frames for attaining goals; goals are broadly known within organization and consistently used to direct actions and set priorities</td>
<td></td>
</tr>
</tbody>
</table>

This score can be justified based on Customer Perception of Custodial Services in a Changing Fiscal Climate. The self-study conducted as part of the Administrative Unit Review in 2017, revealed that whether the customer operates within the General Fund Incentive Based Budget (IBB) model or the traditional Income and Expense Activities model, expectations for services have always been and will continue to be driven by available resources. Although the department takes great pride in its diversity; however, it has created communication challenges, as English is not the first language for the majority of our staff. There is an opportunity to improve the marketing of the service level to the university community beyond the Custodial Services website, by meeting with the customers and interacting with them. Additionally, greater contact with major customers by senior staff and the director could improve communications and transparency resulting in higher customers’ satisfaction. It is difficult to ignore that there are threats at the horizon, because some constituents have the impression that savings could be realized and service levels increased via outsourcing. That is why The Director referred to his department as “a low hanging fruit”. “To the question of setting and pursuing performance goals, Mr.
Coleman replied that the department has performance goals, but is working on setting an even greater new goal. The ultimate goal is to provide the best facility services. To reach the performance goals, the department relies on training and professional development promoted at all levels within the department. He revealed that performance is trucked through the weekly inspections of the buildings using Smart Inspect software and through customer surveys and feedback.”(Interview write up). In addition, there are misconceptions regarding the Custodial Services Department portion of the per square foot charge through Incentive Based Budgeting.

**Source:**

Interview of the Director Gerald Coleman, The Administrative Unit Review, Self-study conducted and revised on January 9, 2017.

<table>
<thead>
<tr>
<th>II. STRATEGY</th>
<th>1 Clear need for increased capacity</th>
<th>2 Basic level of capacity in place</th>
<th>3 Moderate level of capacity in place</th>
<th>4 High level of capacity in place</th>
</tr>
</thead>
<tbody>
<tr>
<td>Overall strategy</td>
<td>Strategy is either nonexistent, unclear, or incoherent (largely set of scattered initiatives); strategy has no influence over day-to-day behavior</td>
<td>Strategy exists but is either not clearly linked to mission, vision, and overarching goals, or lacks coherence, or is not easily actionable; strategy is not broadly known and has limited influence over day-to-day behavior</td>
<td>Coherent strategy has been developed and is linked to mission and vision but is not fully ready to be acted upon; strategy is mostly known and day-to-day behavior is partly driven by it</td>
<td>Organization has clear, coherent medium- to long-term strategy that is both actionable and linked to overall mission, vision, and overarching goals; strategy is broadly known and consistently helps drive day-to-day behavior at all levels of organization</td>
</tr>
</tbody>
</table>

UVM Custodial Services is committed to providing the best possible service with the resources that are available. The senior leadership realize that future budget reductions seem inevitable. Therefore, the department strategically plans to continue to identify methods to provide excellent service at a reduced per unit cost. The overall strategy consist of adjusting service levels in non-mission critical areas. For a quick background, since 2007 and in the years in which the University has faced difficult financial challenges, outsourcing of the department’s work has been considered. The University leadership has posed the question if cleaning should be an outsourced to a private vendor. In 2008, the University concluded that cleaning could be done in-house more cost effectively than by various external vendors.
In 2012, with the assistance of an external consultant, UVM again concluded that cleaning should be done in-house by UVM staff and managed by UVM leadership. To overcome the challenge, Custodial Services has utilized third-party vendors where feasible instead of hiring additional staff. Some examples are window washing, pest control, and some language translation services. In the same vein, the university utilized Core Management to analyze facilities needs and determine appropriate labor requirements. (Administrative Unit Review, Self-study).

**Source:** The Administrative Unit Review, Self-study conducted and revised on January 9, 2017.

<table>
<thead>
<tr>
<th>Goals/performance targets</th>
<th>1 Clear need for increased capacity</th>
<th>2 Basic level of capacity in place</th>
<th>3 Moderate level of capacity in place</th>
<th>4 High level of capacity in place</th>
</tr>
</thead>
<tbody>
<tr>
<td>Targets are nonexistent or few; targets are vague, or confusing, or either too easy or impossible to achieve; not clearly linked to aspirations and strategy, and may change from year to year; targets largely unknown or ignored by staff</td>
<td>Realistic targets exist in some key areas, and are mostly aligned with aspirations and strategy; may lack aggressiveness, or be short-term, lack milestones, or mostly focused on “inputs” (things to do right), or often renegotiated; staff may or may not know and adopt targets</td>
<td>Quantified, aggressive targets in most areas; linked to aspirations and strategy; mainly focused on “outputs/outcomes” (results of doing things right) with some “inputs”; typically multiyear targets, though may lack milestones; targets are known and adopted by most staff who usually use them to broadly guide work</td>
<td>Limited set of quantified, genuinely demanding performance targets in all areas; targets are tightly linked to aspirations and strategy, output/outcome-focused (i.e., results of doing things right, as opposed to inputs, things to do right), have annual milestones, and are long-term nature; staff consistently adopts targets and works diligently achieve them</td>
<td></td>
</tr>
</tbody>
</table>

I submitted a selection (the same selection for the class assignment) of the 15 categories of the MC Kinsey Capacity Assessment Grid to five members of the UVM Custodial Services’ senior leadership team for them assess UVM Custodial. They independently took the survey without disclosing their identities and they all checked “2” for the “Goals/performance targets” category. The department in partnership with Core management runs inspections in the buildings using the Smart Inspection Software, which helps point out deficiencies or areas that need more work. After the audits, a recovery plan is written for the custodians in charge of the area to address the issues detected. In addition, the department conducts customer service surveys throughout the academic year. The data collected help
making decisions to meet the customers’ expectations. The norm for the department with core audits is 90% and any score under that threshold is concerning and need a special attention immediately.

Sources: Survey took by UVM senior leadership team (the fifteen selected categories of Mc Kinsey capacity assessment Grid), UVM Custodial Services Customer Service Survey of 2018.

<table>
<thead>
<tr>
<th>Program relevance and integration</th>
<th>1 Clear need for increased capacity</th>
<th>2 Basic level of capacity in place</th>
<th>3 Moderate level of capacity in place</th>
<th>4 High level of capacity in place</th>
</tr>
</thead>
<tbody>
<tr>
<td>Core programs and services vaguely defined and lack clear alignment with mission and goals; programs seem scattered and largely unrelated to each other</td>
<td>Core programs and services well defined and can be solidly linked with mission and goals; program offerings may be somewhat scattered and not fully integrated into clear strategy</td>
<td>Core programs and services well defined and aligned with mission and goals; program offerings fit together well as part of clear strategy</td>
<td>All programs and services well defined and fully aligned with mission and goals; program offering are clearly linked to one another and to overall strategy; synergies across programs are captured</td>
<td></td>
</tr>
</tbody>
</table>

To come up with this score, I considered the department’s Vendor Managed Inventory (VMI) for equipment and supplies on the one hand. On the other hand, I selected the core management program (CSD 2017 self-study).

Until 2018, the VMI contractor provided inventory control and supply ordering, which means that the vendor was determining the products that the department need to operate. Since the vendor was in charge the inventories and supplier at the same time, the department found its VMI closets overstocked with products that were not used while the employees were lacking products that they needed to perform their job. This ended up too expensive and not efficient for the department. Thanks to the town meetings, leadership meetings, supervisory meetings and others, the frontline supervisors started raising concerns about the service provided by the supplier. Since January 2019, frontline supervisors do their inventories themselves and place supplies orders for themselves.

For the weekly audits, the frontline supervisors are wondering about the effectiveness and accuracy of the data by the time they submit the recovery plans to the custodians to address the issues they pointed
out during their inspections. They also noticed that handing out recovery plans to the employees is negatively affecting the moral.

**Sources:** Leadership meetings, Supervisory Meetings, Town meetings with the Director

<table>
<thead>
<tr>
<th>New program development</th>
<th>1 Clear need for increased capacity</th>
<th>2 Basic level of capacity in place</th>
<th>3 Moderate level of capacity in place</th>
<th>4 High level of capacity in place</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>No assessment of gaps in ability of current program to meet recipient needs; limited ability to create new programs; new programs created largely in response to funding availability</td>
<td>Limited assessment of gaps in ability of existing program to meet recipient needs, with little or limited action taken; some ability to modify existing programs and create new programs</td>
<td>Occasional assessment of gaps in ability of existing program to meet recipient needs, with some adjustments made; demonstrated ability to modify and fine-tune existing programs and create new programs</td>
<td>Continual assessment of gaps in ability of existing programs to meet recipient needs and adjustment always made; ability and tendency efficiently and effectively to create new, truly innovative programs to the needs of potential service recipients in local area or other geographies; continuous pipeline of new ideas</td>
</tr>
</tbody>
</table>

The department in partnership with Vermont Adult Learning (VAL) used to sponsor an ESOL program to support training and development for diverse CSD staff. About three years, to be more fiscally responsible, the department ended its contract with VAL and started a new partnership with UVM Global Gate program for English classes for frontline staff. This program helps the department to comply with OSHA regulations, which by the new Globally Harmonized System, gives workers the “right to understand.” The ESOL program also gives employees basic language skills that is be necessary for their personal growth and professional development. There is still some effort to be done to encourage and convince some frontline staff to attend the classes. In addition, due to the language barrier, CSD regularly sponsors on-site interpreters to facilitate supervisor led Train the Trainer as well as translation support for documents and postings regarding job procedures and safety. To increase the service level of the translators, the department just launched a pilot program to utilize a telephonic interpreting service offered by the vendor Language Line Solutions. This over-the-phone interpreting service could supplement and possibly replace many instances in which UVM Custodial and UVM HR have typically relied on local organizations such as Association for African Living in Vermont and US Committee for
Refugees and Immigrants to schedule in-person interpreters to facilitate meetings with Limited English Proficiency staff on topics like safety training, compliance, and labor relations. In the past, the in-person interpreting has worked fine for both Custodial services, but telephonic interpreting gives the department an opportunity to maintain or lower cost, to lessen the administrative burden of interpreter scheduling. It also provide access to a greater range of languages; improve quality/reliability while enabling 24/7, on-demand interpreting for on-the-job interaction between UVM management and our LEP staff, which will benefit the third shift.

This helps the department to promote an inclusive and transparent departmental culture that values dialogue and feedback from all staff members.

**Sources:** 2017 self-study for Administrative Unit Review

<table>
<thead>
<tr>
<th>III. ORGANIZATIONAL SKILLS</th>
<th>1 Clear need for increased capacity</th>
<th>2 Basic level of capacity in place</th>
<th>3 Moderate level of capacity in place</th>
<th>4 High level of capacity in place</th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance management</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Performance management</td>
<td>Very limited measurement and tracking of performance; all or most evaluation based on anecdotal evidence; organization collects some data on program activities and outputs (e.g., number of children served) but has no social impact measurement (measurement of social outcomes, e.g., dropout rate lowered)</td>
<td>Performance partially measured and progress partially tracked; organization regularly collects solid data on program activities and outputs (e.g., number of children served) but lacks data-driven, externally validated social impact measurement</td>
<td>Performance measured and progress tracked in multiple ways, several times a year, considering social, financial, and organizational impact of program and activities; multiplicity of performance indicators; social impact measured, but control group, longitudinal (i.e., long-term) or third-party nature of evaluation is missing</td>
<td>Well-developed comprehensive, integrated system (e.g., balanced scorecard) used for measuring organization’s performance and progress on continual basis, including social, financial, and organizational impact of program and activities; small number of clear, measurable, and meaningful key performance indicators; social impact measured based on longitudinal studies with control groups, and performed or supervised by third-party experts</td>
</tr>
</tbody>
</table>

The department has performance measurement tools in place such Core audits or inspections, customer surveys and staff a performance review. After inspections and surveys, the data collected are analyzed, and recovery plans are designed to address the deficiencies. The frontline supervisors inspect the cleanliness of the buildings once a week. In addition, an external auditor runs twice a year audits. Despite, some issues based on the gap between the state of the inspected space and the content of the recovery
plan, the department is able improve the cleanliness of the facilities and improve the performance indicators.

**Source:** Interview with the Director, Personal experience

<table>
<thead>
<tr>
<th>1 Clear need for increased capacity</th>
<th>2 Basic level of capacity in place</th>
<th>3 Moderate level of capacity in place</th>
<th>4 High level of capacity in place</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Strategic planning</strong></td>
<td>Limited ability and tendency to develop strategic plan, either internally or via external assistance; if strategic plan exists, it is not used</td>
<td>Some ability and tendency to develop high-level strategic plan or access to relevant external assistance; strategic plan roughly directs management decisions</td>
<td>Ability to develop and refine concrete, realistic and detailed strategic plan; critical mass of internal expertise in strategic planning or efficient use of external, sustainable, highly qualified resources; strategic planning carried out on a near-regular basis; strategic plan used extensively to guide management decisions</td>
</tr>
</tbody>
</table>

During the interview with the Director, when asked if the organization engages in strategic planning, Mr. Coleman confirmed that the UVM Custodial Services Department engages in it on an annual basis and he finds the plans very effective. He said that the previous plan, for instance, focused on mechanizing the equipment to increase professionalism and productivity. Mr. Coleman intends to keep focusing on professionalization and improving the department image in the coming strategic plan. For instance, he is suggesting a dress code at least for the leadership team. The new plan will be also focusing on the rebranding to take into account the scope of work that the organization performs, which is not only cleaning, but also things like pest control, recycling, snow removal, composting and others. Mr. Coleman is convinced that the university community is generally no well informed about what the custodial department’s scope of work is.

**Sources:** Interview with the Director, Personal experience
The operation planning is determined by area type, task and frequencies. For instance, custodial staff are responsible for general cleaning on a daily basis of public areas to include patios, entryways, hallways, restrooms, lounges, event spaces, classrooms, dining areas, elevators, and stairwells. Offices, conference rooms are serviced on a weekly basis. Snow removal at building entrances and exits is done as needed. Custodial staff is also responsible for reporting building and equipment repairs, as noticed while performing our other duties. The department also covers events on campus in collaboration with The University Events Services. The department is present on campus 24/7 with three shifts taking turns and the on call system in place. CSD staff cover some spaces such as Tech Park and the Morgan Horse Farm on demand.

Based on my own experience, observations and mostly importantly the external consultant report, staff seem overwhelmed with covering buildings. The staff members in some zones, struggle to service all classrooms before classes start in the morning (usually by 8AM). Operational planning is very challenged on daily basis by absenteeism. The department “faces challenges with absenteeism due to

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<tr>
<th>III. ORGANIZATIONAL SKILLS</th>
<th>1 Clear need for increased capacity</th>
<th>2 Basic level of capacity in place</th>
<th>3 Moderate level of capacity in place</th>
<th>4 High level of capacity in place</th>
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<td>Operational planning</td>
<td>Organization runs operations purely on day-to-day basis with no short- or longer-term planning activities; no experience in operational planning</td>
<td>Some ability and tendency to develop high-level operational plan either internally or via external assistance; operational plan loosely or not linked to strategic planning activities and used roughly to guide operations</td>
<td>Ability and tendency to develop and refine concrete, realistic operational plan; some internal expertise in operational planning or access to relevant external assistance; operational planning carried out on a near regular basis; operational plan linked to strategic planning activities and used to guide operations</td>
<td>Organization develops and refines concrete, realistic, and detailed operational plan; has critical mass of internal expertise in operational planning, or efficiently uses external, sustainable, highly qualified resources; operational planning exercise carried out regularly; operational plan tightly linked to strategic planning activities and systematically used to direct operations</td>
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Based on my own experience, observations and mostly importantly the external consultant report, staff seem overwhelmed with covering buildings. The staff members in some zones, struggle to service all classrooms before classes start in the morning (usually by 8AM). Operational planning is very challenged on daily basis by absenteeism. The department “faces challenges with absenteeism due to
normal use of UVM benefits. However, continued budget reductions mean that there is less available staff to handle the workload of absent employees. Unlike other industries and job categories in which individual employee workload can be deferred, CSD must complete essential services such as disinfection, weather related maintenance, and classroom cleaning on a daily basis.” (2017 Self-study)

Sources: UVM CSD web page, External Review Report, 2017 Self-study

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<td>Human resources planning</td>
<td>Organization uncovers and/or addresses HR needs only when too large to ignore; lack of HR planning activities and expertise (either internal or accessible external); no experience in HR planning</td>
<td>Some ability and tendency to develop high-level HR plan either internally or via external assistance; HR plan loosely or not linked to strategic planning activities and roughly guides HR activities</td>
<td>Ability and tendency to develop and refine concrete, realistic HR plan; some internal expertise in HR planning or access to relevant external assistance; HR planning carried out on near-regular basis; HR plan linked to strategic planning activities and used to guide HR activities</td>
<td>Organization is able to develop and refine concrete, realistic, and detailed HR plan; has critical mass of internal expertise in HR planning (via trained, dedicated HR manager), or efficiently uses external, sustainable, highly qualified resources; HR planning exercise carried out regularly; HR plan tightly linked to strategic planning activities and systematically used to direct HR activities</td>
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From the department web page, it said that CSD staff provide housekeeping and support services for approximately 3.5 million net cleanable sq. feet in 142 buildings throughout the campus. According to Core, the member of custodians in charge of a facility depend the square footage. The department uses the ratio of Full Time employee (FTE) per sq. feet as a base for human resources planning. Therefore, whenever a new facility is built on campus, a certain number of custodians are hired accordingly to cover the facility in question. For instance, the department currently in the process of hiring for the new building called Innovation, which is supposed to be open to the public in the month of May 2019. As employees are retiring, a process is put in place replace them.

However, the Director said during our interview that with the budget cuts of the recent years, the department lost about 12 positions without getting the possibility to hire fill them out. He said to that effect that the department has been asked to do more with less. That is what is making him thinking strategically and finding in mechanization the” way to go”. Mr. Coleman assured that his department is committed to providing the best possible service with the resources that are available. The department
realizes that future budget reductions are inevitable and will continue to identify new methods to provide excellent service at a reduced per unit cost.

Sources:

Department web page, Interview with Mr. Coleman, the Director of the Department.

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<th>Public relations and marketing</th>
<th>1 Clear need for increased capacity</th>
<th>2 Basic level of capacity in place</th>
<th>3 Moderate level of capacity in place</th>
<th>4 High level of capacity in place</th>
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<td>Organization makes no or limited use of PR/marketing; general lack of PR/marketing skills and expertise (either internal or accessible external or expertise)</td>
<td>Organization takes opportunities to engage in PR/marketing as they arise; some PR/marketing skills and experience within staff or via external assistance</td>
<td>Organization considers PR/marketing to be useful, and actively seeks opportunities to engage in these activities; critical mass of internal expertise and experience in PR/marketing or access to relevant external assistance</td>
<td>Organization fully aware of power of PR/marketing activities, and continually and actively engages in them; broad pool of nonprofit PR/marketing expertise and experience within organization or efficient use made of external, sustainable, highly qualified resources</td>
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When I surveyed the senior leadership members asking to rate the 15 categories of the McKinsey Grid, they all without consulting each other assigned “2” to “Public relations and marketing” as I did. According to the 2018 Customer Survey, some customers shared that they never met a representative of the department and would like to be address issues in person, but they had to rely on the website to address their concerns. It shows there is room for improvement when it comes to public relations and marketing. This seems to be an important point in the department strategic plan hearing the Director out during our interview. This englobed in the same package as the working on the image, the rebranding and the quest for more professionalism. There seems to be a disconnection between the department and its customers.

In 2017, UVM brought in consultants that work in the facilities management in higher education from around New England to assess the operation of UVM Custodial Services. The consultants produced a review report after interviewing customers, departmental management, and departmental staff. They reported, “The customers feel very strongly that the lack of training, communication problems caused by the variety of languages spoken within this department, and the overall commination is really poor.” (Administrative Consultant Review Report). In this report, according to the customers, the department is not always helping them understand what services are being completed, which creates an area of
concern in a budget system that bills its University customers. This seems to be the evidence of disconnection between CSD and its customers.

Sources:

2018 Customer Service survey, Interview with Mr. Coleman, Administrative Consultant Review Report

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<th>VII. CULTURE</th>
<th>1 Clear need for increased capacity</th>
<th>2 Basic level of capacity in place</th>
<th>3 Moderate level of capacity in place</th>
<th>4 High level of capacity in place</th>
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<td>People and organizational leadership/effectiveness</td>
<td>Employees are hired, rewarded and promoted for executing a set of tasks/duties or for no clear reason, rather than for their impact; decisions are mostly made on “gut feeling”</td>
<td>Performance Contribution is occasionally used and may be one of many criteria for hiring, rewarding and promoting employees; performance data is used to make decisions</td>
<td>Employee Contribution to social, financial and organizational impact is typically considered as a preeminent criterion in making hiring, rewards and promotion decisions; important decisions about the organization are embedded in comprehensive performance thinking</td>
<td>All employees are systematically hired, rewarded and promoted for their collective contribution to social, financial and organizational impact; day-to-day processes and decision making are embedded in comprehensive performance thinking; performance is constantly referred to</td>
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The University of Vermont Custodial Services is the largest individual department of the university (about 240 employees). The best practice of the department prioritizes health, safety and customer satisfaction in accordance with their mission, which is “Provide the university with a clean and safe environment in which to live, learn, and work”. To carry out such a noble mission, the department is well aware that the focus needs to be on the people composing the labor force, those who perform the work and strive to meet the customers’ expectations. Because the department is aware that its success depends on the level of involvement and performance of the employees, the department through its leadership shows that they care.

The department in partnership with Working Bridges/United Way to bring a resource coordinator on site to help employees manage their resource needs in place without having to leave work. The contract with Working Bridges is a collaborative way that aims at improving the department productivity, retention, advancement and financial stability for custodians. This strategy addresses the lack of resources and create a workplace that is a “win-win” for the people and for the department. This helps build trust.

The department offers career advancement opportunities allowing and encouraging internal promotions. The front line staff are ranked by level mainly according to the level of responsibility. They are custodial Level 1(entry level), Level 2(intermediary level) and Level 3(the team leads). At the supervisory level,
there are Maintenance Unit supervisors and senior supervisors and above the senior supervisors, there
are the managers. The employees are promoted based on seniority, but mainly based on their merit. The
leadership team values mentorship and coaching as part of the organizational culture. Based on my
experience and observations, I can testify that there are numbers of employees who moved up the ranks.
They are example of employees who started in the department as temporary employees or Level 1
employees and gradually moved to Level 1, Level 2, Level 3, supervisors and even managers.

The Director Gerald Coleman is supportive of professional development and training. He allows
supervisors and senior leadership to be active members of professional organizations such as the
International Executive Housekeeper Association (IEHA) who just merged with the Industrial Sanitation
Supply Association (ISSA) for more professional development opportunities. The supervisors and the
senior leadership are members of NNECEARAPPA, which stands for Northern New England Chapter
of the Eastern Region of APPA (the Association of Physical Plant Administrators). APPA has become
an association of leaders in educational facilities. The chapter provides high quality educational and
networking opportunities at its annual chapter conferences. The department pays for staff’s membership
fees and the fees to attend training sessions and an annual conference.

Since English is not the first language for the majority of the employees, the department in partnership
with the Global Gate program of UVM, offers English classes to frontline staff. Moreover, the
department is flexible and encourages employees to enroll in degree programs at UVM. There are
employees in degree programs and some heading towards graduation.

Sources: Interview with Director of the Department of UVM Custodial Services, Personal observation,
Personal experience
Based on my observations and own experience, there are organizational concerns about job descriptions. What is each staff member doing based on her or his position description? It does not always seem clear. According to the external consultant review report, job descriptions need to be evaluated to clearly define the role of the supervisors and senior supervisors to who administrative tasks are being added to the workload (supply inventory and ordering, processing service requests and work orders and FAMIS work). The external review report pointed out that “one supervisor travels through 30 buildings. Sometimes he walks.” (2017 external review report). This seems overwhelming and hardly efficient. The report revealed that many administrative tasks are passed from management to supervisors because management sees that as a way to help frontline supervisors develop their ability to advance. The reality is that there is no clear path for supervisors who want to move into a management position.

Sources: External review report, Observation, Personal experience
As I mentioned earlier, the UVM CSD has a system in place with the annual customer surveys, the core audits with Smart Inspection, which serve tools for performance measurement. However, the 2017 external consultants Report revealed some concerns with the data resulting from the audits. The report mentioned that “it was said that staff had been told when inspection was going to take place, so areas were cleaned up before the inspection occurred, giving a false representation.” They also reported that the inspection tool used is much systematized for all staff and all areas and does not take into account the specificity of each building inspected. This hardly gives an understanding of how staff are performing or buildings are going to be kept cleaned. There seems to be a mismatch between what the audits show in number and the perception of the customers about their buildings cleanliness. The misrepresentation makes it hard to view accurately performance as a shared value. Even in the cases where the data collected reflect the reality of the facilities, there is still a concern. The question is how the data collected using these tools are utilized to positively affect and maintain performance. When studying Leadership and Performance Management Systems, we learned that “Paralleling the transition from strategic planning to strategic management, we need to shift the emphasis of the performance movement from performance measurement to a focus on performance management over the coming decade.”(Poister, 2010). Before then, it is important to relaunch the Core management processes. The external consultants perceived during their observations that the process of providing feedback to custodial staff and customers is unclear. They also found that the effectiveness of Core Management quality assessment process was questionable by almost all the stakeholders with the inconsistent cleaning quality across buildings, the lack of training and clear communication of expectations. (2017 External consultants report). I conducted focus groups discussions with some high performer custodians and they underlined Core Audits ineffectiveness mostly because the Core Smart Inspection Program loses completely sight of the specificity of the different areas audited or inspected.
Sources: External review report, Observation, Personal experience, Focus groups discussions with Custodial Services staff
Appendix Q: Reflection paper #4: Human Capital

PA 326
Due date: 10/11/2018

This week, I would like to reflect on the human capital characterizing the Pine Island Community Farm. Before starting the analysis, it would be interesting to define the concept of human capital. As we learned from the class discussions, there are many definitions of human capital. We strictly can view human capital as the result of the investment on education and training. We can also, broadly, perceive it as the sum of all the skills, knowledge experience and competency a human being can have. It would be very incomplete to limit human capital to what an individual acquires through formal education and training. That explains why the tendency is for a more comprehensive definition of the concept.

Following the same trend of thought, Amartya Sen (1997) argues that the recent evolution, “giving greater recognition to the role of “human capital” is helpful for understanding the relevance of the capability perspective. If a person can become more productive in making commodities through better education, better health, and so on, it is not unnatural to expect that she can also directly achieve more - and have the freedom to achieve more - in leading her life” (p.1959). This is to say that both perspectives need to be considered when defining the concept of human capital for the sake of putting humanity at the center of attention (Sen, 1997).

When we hear the personal stories of people in the Pine Island Community Farm, we see that the farmers have no formal education background. However, we cannot deny their skills, talent, knowledge and the firm dedication that drives them. For instance, Chuda Dhaurali and his wife, Gita, were the pilot goat farmers at Pine Island Farm in the 2013 season. Currently, he also collects goats from other northern VT farms for resale at Pine Island. Back home, his father had a large diversified farm where they used to work. After spending nearly 20 years in a refugee camp in Nepal, he relocated to Burlington, Vermont in 2009. Obviously, he learned techniques from his father about goat handling (“The Pine Island Community Farm: Help it Flourish!” 2018). Theogène Mahoro and Hyacinthe Ayengeneye are the other community members sharing the same neighborhood as Chuda Dhaurali and his family. Since 2014, Theogène and Hyacinthe joined the farm and specialized in chicken production. They also have a sizeable garden plot. Theogène arrived in the U.S. under the refugee resettlement program in 2004, after fleeing the Rwandan genocide. They all live at the farm with their families (“The Pine Island Community Farm: Help it Flourish!” 2018).
Educational attainment is a term used in statistics to refer to the highest level of education completed by a person. It is important to point out that the Pine Island Community Farm is located in Colchester, Vermont, a town where the rate of educational attainment for high school graduate or higher is 94.5% compared to the rate of 89.3% at the national level according to United States Census Bureau. Those rates measure the educational attainment of the population in the age range from 25 to 34 years. For the age range from 45 to 64, the rates are respectively 95% for Colchester, VT and 88.1% at the national level (2012-2016 American Community survey 5-Years Estimates). That implies that Colchester is a town of highly educated people, which has a positive impact on people’s livelihood (access to great job opportunities, decent housing, and health coverage).

If we look at the level of formal education of the farmers of the Pine Island Community Farm, we can assert that they fall in the 5.5% who have none formal education or less than high school graduate or higher. If we strictly define human capital considering only formal education or the level investment in education or training, we will deny them part or all human capital they have. How about all the harvest products from their farms and gardens, what their gain from raising goats, chickens and the beekeeping? They are producing crops and that productivity can be evaluated in terms of contribution no matter its portion in the Gross Domestic Product at the state level and even at the national level.

If we embrace the broader definition referring to human capital as the stock of knowledge and skills that a person acquires through education, training and experience and that the goal of all this capital is to increase productivity and earn higher income (Scott A. Wolla, 2013), we understand why continuous education and training is important. The Vermont Land Trust understands that and decided to investment in Pine Island Community Farm members by providing them with training in leadership, farming teaching them new techniques and pairing them up with volunteers so that they learn to handle the equipment, and other things. Pairing them with volunteers of any skill set is also a learning opportunity for them and in the meantime a human capital development opportunity. The volunteers assist the farmers in many capacities such as gardening, farming techniques, machinery, and waste disposal.

As we can notice, the Pine Island Community Farm members relocated to the US as refugees with their agricultural background, something there acquired growing up and learning from their fathers who were farmers. Thanks to the Pine Island Farm project, the Vermont Land trust, in collaboration with the Intervale Center are training the Pine Island Community Farm’s farmers and gardeners to build their leadership skills and ensure long-term sustainability of the farm. The Intervale center is also training them to view their activity beyond something providing them with fresh crops and meat to view it as a
business. Therefore, they are combining their strong skill set with the proper training and mindset to be successful in their new business.

Combining the talent and skill sets of the farmers with formal education and training will have an even bigger effect on the next generation. Human capital strictly perceived, as the level of investment in a person’s education or training tends to reduce human beings to a system of economic production, losing complete sight of the fact that society is also a system for social reproduction (Bowles and Gintis, 1976). According to Bowles and Gintis, “the error in human capital approach lies in its view and its abstraction from social reproduction.” The risk is that education or schooling can easily worsen class inequalities. The higher one’s formal education background, the better the person’s contribution is valued and the better the person becomes socially and financially stable. Thus, the gap continues to grow between rich and poor people. The good news is that the children of the Pine Island Community Farm members, in addition to a solid farming skill set, have the opportunity to gain more formal education than their parents. It would allow the next generation to build a non-arguable human capital to compete and provide them the chance to be more than simple products of social reproduction.
References:


Appendix R: Final paper on Home Share Vermont

PA305 Final paper

Home Share Vermont is a small non-profit organization with a big mission for the community. Their experienced staff, magnified by 14 dedicated Staff Volunteers, is constantly striving to better serve their customers. Home Share Vermont known in the past as Project Home, was founded in 1982 by a group of local volunteers through the Retired Senior Volunteer Program. With some assistance from several University of Vermont professors, they developed the program from scratch, including the matching process that they are still using today. In 1986 Home Share Vermont became a program of the Cathedral Square Corporation, a local non-profit housing development organization that focuses on the needs of seniors and people with disabilities. Due to the growth of both Home Share and the Cathedral Square Corporation, Home Share Vermont became an independent 501(c) 3 non-profit organization in 2005. Volunteers from a variety of backgrounds are the cornerstone of Home Share Vermont. They provide the majority of our service delivery system, and are one of the primary reasons that they are so successful. They have fourteen Staff Volunteers, which spend an average of 5-10 hours per week providing casework and contributing their unique insights to the screening and matching process, which is a very important step in the whole process. Home share Vermont serves Chittenden, Addison, Grand Isle and Franklin counties of Vermont, but the town of Brandon.

One of the main reasons that bring people to the program is the financial struggle. Home sharing is a simple idea where two or more people share a home to their mutual benefit, just like an old fashioned barter. A person offers accommodations in exchange for help around the house, rent, or a combination of the two. A successful home sharing situation will be of mutual benefit to both parties. Every home share is different depending on what you need. The key is that the arrangement is beneficial to both parties. It is highly unlikely that someone will offer you a high rent, pay half of all utilities, and provide a lot of service. If what you really need is service, you might want to ask only for a small share of utilities or a modest rent. If you really need rent, you might not want to ask for any service. So, it is a sort of trade for on both sides, a win-win partnership.

The real impact of Home Share Vermont in the community is so obvious that the surveys, outcomes are always revealing. For instance, recent surveys ran in May, 2015 by their South Burlington office show that those who found housing through Home Share Vermont are paying an average rent of $206 per
month. Twenty-five percent of participants reported paying no rent in a complete exchange of service for housing. As a result of finding housing through Home Share Vermont, 60% of participants estimated a savings of at least $400 per month in housing costs. The surveys’ results are always very encouraging since 2001 when they conducted their first surveys. Over the last fourteen years, they have administered 8 surveys and the findings have consistently shown financial and health benefits for program participants.

Home Share Vermont has over 30 years of experience providing comprehensive screening and matching services to introduce people looking for housing with those who have homes to share. Homeowners are often elderly and need some assistance in order to remain living at home, but there are no age or income requirements to participate. Each home sharing “match” is unique depending on the needs and offerings of the participants. The magic is in the fact that it’s all about people helping each other. Many testimonial stories are told and I would to share with you a special one. Three years after her husband passed away, Joyce Daniels knew she’d had enough of living alone. So she went about finding the right roommate with assistance from Home Share Vermont. That first housemate arrived in 1999 and since then Daniels who turns 95 a month later, has had plenty of company and the security of knowing that she’s not alone. She’s opened her home now to four or five successive Home Share house mates and enjoyed getting to know each one.

“I think I am more broad-minded perhaps than a lot of people are,’’ said the retired social worker. “I’ve had the feeling, basically, we are all human beings. We all have our joys and our bad times.” Home Share, a South Burlington-based nonprofit, helps seniors, disabled people and others who have room to spare and seek someone to provide help around the house or light personal care in exchange for low rent or no rent. The maximum rent that can be charged is $400 per month. The organization screens and matches people but the ultimate choice is given to them to work out the details on rent, duties and house rules. The idea is to help people stay in their homes and out of nursing homes as long as possible, while meeting the need for affordable housing. On a recent day, Daniels sat in the immaculate living room of her Essex Junction home. Crisp white curtains framed the windows and an illustrated guide to birding, one of her passions, sat near her. She pointed out the window to a stone walkway out front and explained that it was the handiwork of her Home Share roommate, Celine Godbout, a 47-year-old former farmer and mother of two grown children who moved in with Daniels two years ago. “It’s a great program,” Godbout said. “We were a great match right at the beginning and everything went well.” Godbout was starting a new chapter in her life when she saw a newspaper item about Home Share. She’d spent two decades raising children and working on a family farm in Berkshire. Then the divorce came. Money was
tight, she was new to Chittenden County and she needed to find a new career. She instantly liked Daniels and thought she could make herself useful around the senior’s trim, white clapboard home. Godbout cooks desserts and some dinners, helps with the lawn work and this summer painted Daniels’ porch. In the winter, she shovels snow and hangs the Christmas lights. “I’m a handy person. I could probably build a place if I wanted to,” Godbout said. Last year, she threw Daniels a birthday party and invited all the neighbors. Since moving in with Daniels, Godbout has carved out a new career as a licensed nursing assistant with the Visiting Nurse Association. In addition to that work, she’s taking classes and considering an application to a registered nursing program. At times she misses farm life — the geese on the pond, the deer in the field, the little calves. But she doesn’t miss the isolation and with many new friends and acquaintances sometimes thinks: “Look what I missed all those years.”

Daniels grew up in rural Pittsford. Her father, a letter carrier, lived to be 97. Her mother made it to age 96. Daniels attributes her longevity to genes, a good outlook, healthy diet and in her younger days plenty of exercise — she’s climbed mountains all over Vermont. Chance also plays a role. “I’ve had, perhaps people would say, pretty good luck.” She graduated from the University of Vermont in 1939 and pursued a career as a social worker. She worked in various divisions of Vermont government for three decades. These days she needs a walker to get around but she’s full of vim and vigor as she speaks of her life’s adventures. Home Share has been great fun, she said. One of her Home Share roommates was a Chinese graduate student who became a good friend. When his wife and daughter joined him from China, the whole family lived with Daniels and continued to do so after two more children were born. Daniels, an only child who has no children, says it was a pleasure to have small children in her home. She remains close to the family. Relationships are important in Home Share. Kirby Dunn, executive director of the organization, said it’s more than a simple roommate matching service. The number of requests Home Share gets for housing speaks to the demand for affordable housing, Dunn said. Once a match is made and someone moves in, there’s a two-week trial period. About 10 percent of matches are voluntarily dissolved in this time period.

In fiscal year 2012, helped 147 people stay in their homes in Chittenden, Addison and Grand Isle Counties. The organization also lines up of personal care attendants for people in need, an offshoot of its original mission. Last year 86 people found personal care jobs through Home Share. The nonprofit grew out of work started by a group of volunteers and staff with the Retired Senior Volunteer Program. They were concerned about elders living alone and developed the program from there. “It was really kind of a new phenomenon at the time,” Dunn said. This year Home Share launched a $300,000 fund raising drive to set up a fund that will underwrite the cost to clients of using the match service. The
application fee is $30 and the fee for a successful match is $500. “Even though our fees are modest, most people that come to us can’t afford the full fees,” Dunn said. With a $100,000 matching grant from Amy Tarrant, the drive is just $45,000 short of the $300,000 goal. People have been generous, Dunn said.

Surveys show again that those sharing their homes benefit from improved quality of life with the majority of participants feeling safer at home (82%), less lonely (74%), happier (70%) and healthier (50%) as a result of being matched with a house mate through Home Share Vermont. Additionally, more than one-quarter of those sharing their homes felt they would not be able to live at home safely and comfortably without a home sharer. These results could not have been reached without the dedication of their staff members and the high commitment of their Board of Directors. Their Staff is composed of: Kirby Dunn, Executive Director, Amy Jelen, Home sharing Coordinator, Holly Reed, Office Manager, Shannon Day, Intake and Outreach Assistant

Concerning their Board of Directors, as we know, nonprofit boards are ultimately responsible for the organizations that they oversee, and are one of the primary vehicles through which citizens participate in the nonprofit sector. In recent years, nonprofit boards have become an increasing focus of those interested in nonprofit accountability and transparency, including policymakers, the media, and the public. Legislative reforms have been proposed, nonprofit associations are calling on their members to review and strengthen nonprofit governance practices, and the Internal Revenue Service has released a draft paper on “Good Governance Practices for 501(c) (3) Organizations.” Home Share Vermont’s Board of Directors represents a variety of expertise and dedication to the mission of the organization. They are fourteen committed volunteers and are essential to the organization’s success.

Home Share Vermont pays attention to accountability, concerns about loss of public legitimacy have dominated the dialogue about nonprofit governance in recent years and concerns about accountability. However, that should not obscure attention to performance and effectiveness. I wondered if Home Share Vermont’s board has various practices and policies in place to avoid malfeasance or if they are actively serving the organization’s mission and ensuring that the organization is accomplishing its mission. The executive director is so proud and very appreciative of the organization’s Board of Directors. She believes they mainly owe their success to the dedication of their Board of Directors. Home Share Vermont’s Board is well aware of the fact that under the law, board members owe the nonprofit a duty of loyalty, which requires them to act in the nonprofit’s best interest rather than in their own or anyone else’s interest.
Accountability concerns have been predominant in current policy discussions of board governance, and nonprofits are clearly feeling considerable pressure to demonstrate that they are accountable. To my question about accountability in Home Share Vermont, the executive director did not point anything out. Issues of accountability, however, should not overshadow concern with board performance or the board’s oversight of organizational performance. In Home Share Vermont all seems well handled on that side.

When I asked how active the board members are in a series of duties traditionally considered to be part of the board’s basic responsibilities, including the following: fundraising; financial oversight; evaluating the CEO/executive director; planning for the future; setting organizational policy; monitoring programs and policies; community relations; educating the public about the organization and its mission; monitoring the board’s own performance; and acting as a sounding board for management, the feedback was very positive when it comes to Home Share Vermont.

About nonprofit organizations in general, the analyses yielded an interesting finding about one board attribute that has been the subject of some controversy, especially concerning the board size. Large board size has been cited as contributing to governance failures in some of the more highly publicized scandals at nonprofits, and occasionally proposals have been floated to impose an upper limit of thirty two. The IRS draft guidelines propose no limits but caution that “large boards may be less attentive to oversight duties.” While large board size may contribute to problems at some nonprofits, our findings do not indicate larger board size per se detracts from board engagement. The board size of Home Share Vermont is seen as an advantage, they are fourteen dedicated board members, as I mentioned earlier. They are all volunteers and they don’t cost anything to the organization budget wise. They rather are an important part of the organization’s assets because of the expertise they bring for free to organization. Indeed, to the extent that it had any association with activity levels (and usually it did not), it was a positive one: board size was positively associated with board activity in fundraising, educating the public about the organization and its mission, and trying to influence public policy. As this shows, nonprofits use large boards as a fundraising tool, and nonprofits with large and active fundraising boards were indeed more likely to say it would be difficult for them were they required to limit board size to 15, as has sometimes been propose. What can take away from Home Share Vermont’s financial reality?

At Home Share Vermont, management is responsible for the preparation and fair presentation of the financial statements in accordance with accounting principles generally accepted in the United States of America. That includes the design, implementation, and maintenance of internal control relevant to the
preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error. They have an external auditor, a contractor who inspects them financially. His responsibility is to express an opinion on the financial statements based on his audits. He conducts audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that he plans and perform the audits to obtain reasonable assurance about whether the financial statements are free of material misstatement.

The audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, he expresses no such opinion. Every audit performed also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements. They present the financial position of Home share Vermont. The most recent are from June 30, 2015 and 2014, and present the changes in its net assets and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.

Concerning the nature of activities, Home share Vermont is a nonprofit organization formed for the purpose of assisting elders and persons with disabilities to remain living independently in their homes and to provide affordable housing to people who need it. Home Share Vermont screens and matches individuals need affordable housing and can provide some services for individuals who have homes but need help in order to live independently. They had to face a change in their activities that had an important financial impact on the organization. In addition to home sharing, the organization had developed a caregiving program to match frail elders and people with disabilities who need personal, non-medical care in their homes with people who seek caregiving job opportunities. They were receiving grants and donations according to the care giving service, which changed. New federal regulations would require either to restructure the caregiving program, resulting in changes in the nature of the service offered, or accepting the potential liabilities of being a third party employer. As a result, the Board of Directors of Home Share Vermont decided to close the caregiving program as of December 31, 2014. Subsequent to this decision, circumstances changed temporarily; and the program continued to work with existing clients through June 30, 2015.
The new federal regulations do not impact the home sharing program, and management believes that the funding and financial implications of the change in activities to Home Share Vermont will not be significant.

Regarding the nature of organization and other reporting information, as we point it out earlier, Home Share Vermont, Inc., previously known as Project HOME, was founded in 1982 by staff and volunteers with the Retired Senior Volunteer Program. In 1986, Home Share Vermont became a program of Cathedral Square Corporation, a local non-profit housing development organization that focuses on the needs of seniors and people with disabilities. By resolution of the Board of Directors of Cathedral Square Corporation, the operations and all financial, tangible and intangible assets of the program were transferred and assigned, effective January 1, 2005, to Home Share Vermont, Inc., which had received its certificate of incorporation from the State of Vermont On October 12, 2004.

The financial statements have been prepared on the accrual basis of accounting in accordance with generally accepted accounting principles.

For the Contributions / Restrictions on Net Assets, Contributions received are recorded as unrestricted, temporarily restricted, or permanently restricted support depending on the existence and/or nature of any donor restrictions.

Contributions received as part of a capital campaign for the specific purpose of assisting with its purchase of an office facility and other building related expenditures have been classified as temporarily restricted net assets. The unused balance remaining from the capital campaign was $60,600 as of June 30, 2015.

In addition, the Board of Directors has designated gifts and bequests to the Polly Rowe Fund to be set aside in a separate account and used to generate operating income. This Fund is classified as unrestricted because there have been no donor restrictions on the contributions and the Board retains full discretion as to the use of the Fund.

Concerning Grant Revenue and Income Taxes, Home Share Vermont receives various governmental grants and an annual United Way allocation which are recognized as revenue in the service period specified by the agreements. Home Share Vermont, Inc. is exempt from federal income taxes under Section 501(c) (3) Of the Internal Revenue Code and did not conduct unrelated business activities. Therefore, No provision for federal income taxes has been made in the accompanying financial statements. In addition, Home Share Vermont, Inc. has been determined by the Internal Revenue Service not to be a "private foundation" within the meaning of Section 509(a) Of the Internal Revenue Code.
According to the estimates, the preparation of financial statements in conformity with generally accepted accounting principles requires the use of management's estimates. The functional allocation of expenses shows that the costs of providing the various programs and other activities have been summarized on a functional basis in the statement of activities. Accordingly, certain costs have been allocated among the programs and supporting services benefited. On the side of cash and cash equivalents, it is important to point out that cash equivalents consist of highly liquid investments including all certificates of deposit. Concerning the fair value of financial instruments, I must say that Home Share Vermont, as a nonprofit organization estimates that the carrying amount of all financial instruments such as cash, grants receivable and accounts payable approximated their fair values due to the short-term maturity of these instruments. Taking into account the depreciation, we notice that property and equipment are stated at cost and are being depreciated over the estimated useful lives of the assets using the straight-line method. Also, the organization operates out of an office condominium located in South Burlington, Vermont. The condominium was purchased May 14, 2007 with contributions received from a capital campaign. There are also contributed Services and to that regard, Home Share Vermont receives a significant amount of contributed services from unpaid volunteers, primarily to assist with creating and supporting home sharing matches. During the year ended June 30, 2015, $21,474 of contributed services was recognized as revenue in the statement of activities, $22,567 of contributed services was recognized in the previous fiscal year. Besides, in the account of subsequent events, the organization has evaluated subsequent events through September 16, 2015, the date which the financial statements were available to be issued.

Concerning the fund held by Vermont Community Foundation, through June 30, 2015, Home Share Vermont had transferred $267,654 to the Home Share Vermont Fund of the Vermont Community Foundation. The Home Share Vermont Fund is the exclusive property of the Foundation, which shall have the ultimate authority and control over all property in the Fund, including earnings and appreciation derived from the property. In accordance with the spending policy in effect as set by the Board of Directors of the Foundation, the Foundation will annually distribute to Home Share Vermont, Inc. a percentage of the market value of the Fund. This amount will be calculated at the beginning of each fiscal year of the Foundation and communicated to Home Share Vermont, Inc. at that time. Any other requests for distribution by Home Share Vermont, Inc. shall be advisory and not binding on the Foundation. A decision by the Foundation to return the Fund to Home Share Vermont will be made if circumstances occur that, in the sole and absolute discretion of the Board of the Foundation, make it
desirable and in the best interest of Home Share Vermont Inc. and/or the Foundation for the Fund to be
returned.

While the Foundation has the "variance power" to modify restrictions, as required by legal standards
imposed on all community foundations, and is the legal owner of all assets contributed to any of its
component funds, the reporting of financial information is determined by accounting standards that
require that if a community foundation accepts a contribution from an agency and agrees to transfer those
assets, the return on investment of those assets or both back to the agency, then these contributions are
presented as a liability of the community foundation and as an asset on the financial statements of the
agency. This is the case with the Home Share Vermont Fund. Therefore, for financial statement purposes,
the Fund is reported as an asset in the statement of financial position of Home Share Vermont, Inc. at its
fair market value, which is determined by the Fund's underlying assets.

The fair market value of the Fund was $360,936 as of June 30, 2015 and $353,530 as of June 30, 2014.
Earnings and gains on investments of $1,406, net of expenses, were recognized in the statement of
activities for the year ended June 30, 2015 and $43,123 for the year ended June 30, 2014, No distributions
were made from the Fund to Home Share Vermont, Inc. during the year’s ended June 30, 2015 and 2014.

As the investment vehicle for the assets of the Fund, Home Share Vermont, Inc. selected the Foundation's
"Primary Pool", which is a mix of equities, alternatives and fixed income.

Regarding the investments held by Merchants Trust Co. and the retirement plan, we must say that in the
year ended June 30, 2015, Home Share Vermont transferred $25,000 into an investment account at
Merchants Trust Co. no transfers were made in the year ended June 30, 2014. The investments are
reported in the statement of financial position at their fair market value. Home share Vermont has a
403(b) retirement plan available to employees who wish to participate. Employees can elect to have tax
deferred withholdings taken from their compensation, but no contributions are made by Home Share
Vermont.

Below, you will find some visual documents related to the financial statement I described above. There
are financial tools for decision making. Like any other nonprofit organization, Home Share Vermont is
driven by its mission, and that mission is mainly driven by the organization’s finances. The decision
makers are the Board of Directors, the executive director, the funds raising committee, the program
coordinator. They use these data to make appropriate decisions for the current fiscal period as well as
for future periods.
I displayed the statement of financial position, known as the balance sheet. The financial statement lists the assets, liabilities, and net assets of the organization at any point in time. The other is usually referred to as the income statement is the statement of activities. It lists the revenues and expenses of the organization over a period of time.

I am also displaying the annual budget. The statement of activities is composed of rows of revenue and expense data that don’t match with those used to generate the annual budget. I must say that a budget should be based on the most accurate actual data available from prior fiscal years.

<table>
<thead>
<tr>
<th>Table comparing activities summaries between 2014 and 2015</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Summary of activity</strong></td>
</tr>
<tr>
<td>Beginning balance</td>
</tr>
<tr>
<td>Contribution</td>
</tr>
<tr>
<td>Dividends &amp; interest earned</td>
</tr>
<tr>
<td>Realized &amp;. unrealized capital gains (losses)</td>
</tr>
<tr>
<td>Investment fees</td>
</tr>
<tr>
<td>Ending balance</td>
</tr>
<tr>
<td><strong>Summary of allocation</strong></td>
</tr>
<tr>
<td>Cash and cash equivalents</td>
</tr>
<tr>
<td>Equities</td>
</tr>
<tr>
<td>Fixed Income</td>
</tr>
<tr>
<td>Ending balance</td>
</tr>
</tbody>
</table>
Statement of activities

### Income

<table>
<thead>
<tr>
<th>Source</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investment Earnings &amp; Gains</td>
<td>$62,887</td>
</tr>
<tr>
<td>Rental Income</td>
<td>$2,400</td>
</tr>
<tr>
<td>United Way</td>
<td>$55,116</td>
</tr>
<tr>
<td>Donated Services</td>
<td>$22,567</td>
</tr>
<tr>
<td>Fees</td>
<td>$13,110</td>
</tr>
<tr>
<td>Donations &amp; Fundraising</td>
<td>$124,348</td>
</tr>
<tr>
<td>State &amp; Local Gov't Grants</td>
<td>$202,590</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$483,018</strong></td>
</tr>
</tbody>
</table>

### Expenses

<table>
<thead>
<tr>
<th>Category</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>$248,877</td>
</tr>
<tr>
<td>Payroll taxes &amp; benefits</td>
<td>$66,209</td>
</tr>
<tr>
<td>Donated services</td>
<td>$22,567</td>
</tr>
<tr>
<td>Advertising</td>
<td>$20,806</td>
</tr>
<tr>
<td>Occupancy/office</td>
<td>$19,130</td>
</tr>
<tr>
<td>Postage &amp; printing</td>
<td>$18,485</td>
</tr>
<tr>
<td>Depreciation</td>
<td>$9,015</td>
</tr>
<tr>
<td>Audit/legal/ins.</td>
<td>$17,097</td>
</tr>
<tr>
<td>Services &amp; training</td>
<td>$7,829</td>
</tr>
<tr>
<td>Background checks</td>
<td>$1,690</td>
</tr>
<tr>
<td>Mileage</td>
<td>$4,137</td>
</tr>
<tr>
<td>Misc.</td>
<td>$3,112</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$438,954</strong></td>
</tr>
</tbody>
</table>

**Increase in unrestricted net assets** 44,064
As we notice, the vast majority of the revenues are coming from the same source: the government. Even though they have a variety of revenue source, it is too risky to be counting mainly only on one source. As we the government funding is generally decreasing every. An important decrease in government funding can negatively influence the overall mission of the organization year lead to change in service delivery and staffing. Without adequate financial resources, an organization is unable to achieve its mission and may not survive. Financial resources or assets fall into three categories: money, goods, and services. Money consists of cash, checking and savings accounts, securities and other investments. Goods involve merchandise or stock, supplies, and equipment. Services are the programs and activities the organization offers to its clients. Accountants classify goods and services as resources because they have a value or may be used to create value or revenues.

A financial cut can have a tremendous impact on the nonprofit. The cut of funds can create a cash flow crunch and force the organization to reduce its spending. The actions may include eliminating staff or reducing the hours worked plus adjusting the services offered to clients. Besides reduced services, the organization may experience negative publicity about firing its employees. The bad press can lead to a decrease in donations and the willingness of volunteers to work with the organization. Members of the board are questioned by family, friends, associates and others. All of these factors make it imperative for every nonprofit organization to have a stable financial system in place.

This is a very interesting point that raises a double debate, the one about diversification of revenue for nonprofit organizations and the second one about the myth of diversification. Diversification may seem like a good idea, but in practice most of the organizations that have gotten really big over the past three decades did so by concentrating on one type of funding source, not by diversifying across several sources of funding. Nowadays, many leaders of aspiring nonprofits state that their first funding objective is diversification. It seems sensible. When government funding stalls, why not try to raise money from individual donations? When corporate money dries up, why not try to replace it with foundation grants? And isn’t having a wide array of funding sources a good way to mitigate the risk of losing any single source of money?
## Statement of Financial Position 6/30/14

### Assets

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash &amp; cash equivalents</td>
<td>392,041</td>
</tr>
<tr>
<td>Fund held by VT Community Foundation</td>
<td>353,530</td>
</tr>
<tr>
<td>Investments held by Merchants Trust Co.</td>
<td>185,222</td>
</tr>
<tr>
<td>Office facility, at cost</td>
<td>221,028</td>
</tr>
<tr>
<td>Office furniture &amp; equipment</td>
<td>19,854</td>
</tr>
<tr>
<td>Accumulated depreciation</td>
<td>(52,234)</td>
</tr>
<tr>
<td><strong>Total Assets</strong></td>
<td><strong>$1,119,441</strong></td>
</tr>
</tbody>
</table>

### Liabilities and Net Assets

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Current Liabilities</strong></td>
<td></td>
</tr>
<tr>
<td>Accounts payable</td>
<td>3,483</td>
</tr>
<tr>
<td>Accrued payroll</td>
<td>10,432</td>
</tr>
<tr>
<td><strong>Total Current Liabilities</strong></td>
<td><strong>13,915</strong></td>
</tr>
<tr>
<td><strong>Net Assets</strong></td>
<td></td>
</tr>
<tr>
<td>Unrestricted net assets</td>
<td></td>
</tr>
<tr>
<td>Undesignated</td>
<td>194,961</td>
</tr>
<tr>
<td>Designated by Board</td>
<td>309,882</td>
</tr>
<tr>
<td>Used for office facility, furniture &amp; equipment, less depreciation</td>
<td>188,648</td>
</tr>
<tr>
<td><strong>Total Unrestricted Net Assets</strong></td>
<td><strong>693,491</strong></td>
</tr>
<tr>
<td>Fund held by VT Community Foundation</td>
<td>353,530</td>
</tr>
<tr>
<td>Restricted Net Assets for building related expenditures</td>
<td>58,505</td>
</tr>
<tr>
<td><strong>Total Net Assets</strong></td>
<td><strong>1,105,526</strong></td>
</tr>
</tbody>
</table>

**Total Liabilities & Net Assets**  

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total Liabilities &amp; Net Assets</strong></td>
<td><strong>$1,119,441</strong></td>
</tr>
</tbody>
</table>
### Budget to Actual Statement
**HomeShare Vermont**
**January 31, 2014**

<table>
<thead>
<tr>
<th>Revenue</th>
<th>Actuals</th>
<th>YTD Actuals</th>
<th>YTD Budget</th>
<th>Budget to Actual Variance</th>
<th>Annual Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>5141 Rental Income</td>
<td>200.00</td>
<td>1,400.00</td>
<td>1,400.00</td>
<td>-</td>
<td>2,400.00</td>
</tr>
<tr>
<td>5311 In Kind Donations (volunteer h)</td>
<td>-</td>
<td>-</td>
<td>17,500.00</td>
<td>(17,500.00)</td>
<td>30,000.00</td>
</tr>
<tr>
<td>5410 Interest Income</td>
<td>-</td>
<td>832.47</td>
<td>700.00</td>
<td>132.47</td>
<td>1,200.00</td>
</tr>
<tr>
<td>5918-10 Application Fees</td>
<td>390.00</td>
<td>2,600.00</td>
<td>3,208.33</td>
<td>(608.33)</td>
<td>5,500.00</td>
</tr>
<tr>
<td>5918-20 Match Fees</td>
<td>460.00</td>
<td>6,230.00</td>
<td>5,833.33</td>
<td>368.67</td>
<td>10,000.00</td>
</tr>
<tr>
<td>5990 Other Income (VCF) (5%)</td>
<td>-</td>
<td>937.28</td>
<td>8,750.00</td>
<td>(7,812.72)</td>
<td>15,000.00</td>
</tr>
<tr>
<td>5993-10 State Grants</td>
<td>-</td>
<td>85,000.00</td>
<td>104,965.00</td>
<td>(19,965.00)</td>
<td>179,840.00</td>
</tr>
<tr>
<td>5993-20 Municipal Grants</td>
<td>650.00</td>
<td>3,150.00</td>
<td>7,918.75</td>
<td>(4,768.75)</td>
<td>13,575.00</td>
</tr>
<tr>
<td>5993-30 CDBG</td>
<td>-</td>
<td>-</td>
<td>7,000.00</td>
<td>(7,000.00)</td>
<td>12,000.00</td>
</tr>
<tr>
<td>5993-50 Foundations</td>
<td>-</td>
<td>25,000.00</td>
<td>14,583.33</td>
<td>10,416.67</td>
<td>25,000.00</td>
</tr>
<tr>
<td>5995 Donations</td>
<td>4,817.83</td>
<td>20,930.17</td>
<td>20,416.67</td>
<td>513.50</td>
<td>35,000.00</td>
</tr>
<tr>
<td>5996 United Way</td>
<td>4,603.30</td>
<td>32,223.10</td>
<td>31,500.00</td>
<td>723.10</td>
<td>54,000.00</td>
</tr>
<tr>
<td>5997-10 Inns Raffle</td>
<td>3,058.43</td>
<td>3,548.43</td>
<td>6,416.67</td>
<td>(2,868.24)</td>
<td>11,000.00</td>
</tr>
<tr>
<td>5997-20 30th Anniversary</td>
<td>1,100.00</td>
<td>19,620.00</td>
<td>-</td>
<td>19,620.00</td>
<td>-</td>
</tr>
<tr>
<td>5997-30 Annual Appeal</td>
<td>-</td>
<td>75.00</td>
<td>11,666.67</td>
<td>(11,591.67)</td>
<td>20,000.00</td>
</tr>
<tr>
<td>5997-40 Business Fundraising</td>
<td>-</td>
<td>675.00</td>
<td>5,250.00</td>
<td>(4,575.00)</td>
<td>9,000.00</td>
</tr>
<tr>
<td>5997-50 Annual Mfg/Rocker (gross)</td>
<td>-</td>
<td>11,943.57</td>
<td>6,416.67</td>
<td>5,526.90</td>
<td>11,000.00</td>
</tr>
<tr>
<td><strong>Total Revenue</strong></td>
<td><strong>15,279.56</strong></td>
<td><strong>214,165.02</strong></td>
<td><strong>263,525.42</strong></td>
<td><strong>(39,360.40)</strong></td>
<td><strong>434,815.00</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Expenses</th>
<th>Actuals</th>
<th>YTD Actuals</th>
<th>YTD Budget</th>
<th>Budget to Actual Variance</th>
<th>Annual Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>6142 In-Kind Donated Services (vc)</td>
<td>-</td>
<td>-</td>
<td>17,500.00</td>
<td>(17,500.00)</td>
<td>30,000.00</td>
</tr>
<tr>
<td>6143 Donation expense (credit car)</td>
<td>103.84</td>
<td>655.72</td>
<td>875.00</td>
<td>(219.28)</td>
<td>1,500.00</td>
</tr>
<tr>
<td>6203 Trainings/Meetings (Bd., staf)</td>
<td>-</td>
<td>671.24</td>
<td>700.00</td>
<td>(28.76)</td>
<td>1,200.00</td>
</tr>
<tr>
<td>6210 Advertising/Marketing</td>
<td>2,807.63</td>
<td>8,500.98</td>
<td>6,416.67</td>
<td>2,084.31</td>
<td>11,000.00</td>
</tr>
<tr>
<td>6211 Occupancy</td>
<td>1,010.34</td>
<td>4,136.77</td>
<td>4,200.00</td>
<td>(63.23)</td>
<td>7,200.00</td>
</tr>
<tr>
<td>6213-10 Fundraising (party, CG)</td>
<td>-</td>
<td>2,743.85</td>
<td>2,450.00</td>
<td>293.85</td>
<td>4,200.00</td>
</tr>
<tr>
<td>6213-20 Client Workshops &amp; Training</td>
<td>-</td>
<td>1,168.02</td>
<td>1,166.67</td>
<td>1.35</td>
<td>2,000.00</td>
</tr>
<tr>
<td>6214 Travel/Mileage</td>
<td>350.50</td>
<td>2,300.44</td>
<td>2,916.67</td>
<td>(616.23)</td>
<td>5,000.00</td>
</tr>
<tr>
<td>6310-10 Salaries</td>
<td>19,487.10</td>
<td>144,422.93</td>
<td>139,416.67</td>
<td>5,006.26</td>
<td>239,000.00</td>
</tr>
<tr>
<td>6310-20 Salaries - CDBG</td>
<td>2,024.40</td>
<td>5,398.40</td>
<td>7,000.00</td>
<td>(1,601.60)</td>
<td>12,000.00</td>
</tr>
<tr>
<td>6311-10 Postage</td>
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<td>2020</td>
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<tr>
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<td>Workers Comp Insurance</td>
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<td>Health Insurance &amp; Benefits</td>
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<td>(4,013.94)</td>
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<td>584.67</td>
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<td>6795-20</td>
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<td>192.50</td>
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<tr>
<td>6795-30</td>
<td>Volunteer recognition</td>
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<td>700.00</td>
<td>(536.93)</td>
</tr>
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<td>(558.33)</td>
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**Total Expenses**

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| Net Surplus/(Deficit) | (25,922.49) | (30,205.05) | - | (30,205.05) | - |
### Revenue

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<tr>
<th>Description</th>
<th>June Actuals</th>
<th>YTD Actuals</th>
<th>YTD Budget</th>
<th>Budget to Actual Variance</th>
<th>Annual Budget</th>
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<td>-</td>
<td>2,400.00</td>
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<td>5,500.00</td>
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<td>13,575.00</td>
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<td>12,000.00</td>
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<td>12,000.00</td>
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<td>Foundations</td>
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### Expenses

<table>
<thead>
<tr>
<th>Description</th>
<th>June Actuals</th>
<th>YTD Actuals</th>
<th>YTD Budget</th>
<th>Budget to Actual Variance</th>
<th>Annual Budget</th>
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</thead>
<tbody>
<tr>
<td>In-Kind Donated Services (volunte</td>
<td>1,934.60</td>
<td>22,566.54</td>
<td>30,000.00</td>
<td>(7,433.46)</td>
<td>30,000.00</td>
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| Net Surplus/(Deficit) | 5,020.03 | (8,794.79) | - | (8,794.79) | - |
### Revenue

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<td>- Match Fees</td>
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### Expenses

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<td>- Equipment (copier, database, etc.)</td>
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<tr>
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<tr>
<td>- Misc</td>
<td>1,720</td>
</tr>
<tr>
<td>Background Checks</td>
<td>2,000</td>
</tr>
</tbody>
</table>

**Total Revenue**: **435,050**

**Total Expenses**: **403,510**

Home Share Vermont approved Fiscal Year 2016 Budget
For its size, we must say that Home Share Vermont is a small nonprofit organization with a strong financial health. The biggest challenge that Home Share Vermont is facing is how to spread the word; in other words how to get the community to know what Home Share Vermont, as an organization do. This made me wonder, with such a great financial heath, why don’t they invest more in advertising? Due to the importance of the matter, in my view the decision makers must think of allocating more funds to the budgetary line item for advertising. A part of the surplus could be reinvested to reinforce the advertising activities. The other challenge is the struggle to adapt the organization after the care giving program was cut off: how to reallocate with efficiency the efforts from the care giving program to the home share program?

The organization is very transparent. The annual reports are all published, and the audits’ results are published, not only the fiscal audits, but also the most recent tax returns 990 forms are all available on the organization’s website.

Nearly half of all nonprofit organizations, in 2013, reported a decrease in revenue from federal agencies, and one in five said their experience with federal, state, and local government contracting was worse in 2012 than in previous years, a new Urban Institute study concludes. The report, based on a national survey of 501(c)(3) public charities with budgets greater than $100,000, provides state-by-state data on the fiscal health of nonprofits, aggregates the size and type of government contracts they hold, and ranks states by the problems they encounter with government contracts.

The organizations like Home Share Vermont depending mainly on government support financially can get a leg up by simply starting with up to 10 of the largest government grants or contracts, which in most organizations will account for a disproportionate amount of their revenue; thinking through the potential ways those funding streams could change; and identifying practical options for dealing with those possibilities.
Sources:

http://www.homesharevermont.org/

http://www.burlingtonfreepress.com/article/20121008/NEWS07/310080014/


http://ssir.org/articles/entry/how_nonprofits_get_really_big#sthash.ay2B9hoM.dpuf
Appendix S: PA 305 Midterm

Question 1

The budget, from my understanding was seen as a tool whose sole purpose was to track revenues and expenditures, especially in the government. But, nowadays, the budget can be easily defined as a comprehensive system for planning, managing, and controlling the organizations projects and programs. As a planning tool, we could be curious and try to find out the following as asked in Sucher’s methodology of Moral Decision Making: “On what basis shall it be decided to allocate x dollars to activity A instead of activity B?” (V. O. Key – 1940)

The answer to this interrogation implies many skills from the budget builders. In effect, the budget build should be a rational believer, have a sense of pure reaction (pure reactive), be budget wise, and have a fourth quality, which is be a wise budget person. What do these qualities mean? Is it possible for the same person to meet all these requirements before being a budget builder?

Budgeting is all about forecasting or predictions. However, in order to predict efficiently, the budget builder should be first of all a rational believer. That means that he should be guided by a logical mindset working following logical steps. In other words, he should be guided by some discipline in the process. After that, he should also have a pure reactive mindset, which practically means that he should somehow, emotional driven, influenced the reality or the people around and avoid to behave as a piece of machine. Besides that quality or requirement, the budget builder should be budget wise, meaning that he should be optimistic and be aware politics. Finally, the budget builder should be a budget wise person who understands and takes into account the all the requirements or factors announced above.

In real life, it is very difficult to find someone with all these skills. That is the reason why it is advised to work in groups because it is much realistic to gather all these skills in a group than in a single person. To answer the question asked above, I would respond that it is based on these four factors that the budget builders decide to allocate x dollars to activity A instead of activity B.

Question 2: Cemetery Budget

Is it really conceivable to explain to the constituencies that their cemetery will be out of service or will stay close for lack of budget? My response to this is “no”, but it is not that obvious in a budgetary point of view. The constituencies won’t just allow it because cemetery can be seen as a need of primary necessity. When the time comes for municipal campaign, all the politics promise to satisfy at least the
citizens’ basic needs and having a functional cemetery in the city is certainly part of the basic needs in question. That being mentioned, we should necessarily come up with a good argumentation to convince the City Council to adopt city cemetery’s budget for next year. How can we satisfy the criteria of rational believer, pure reactive, budget wise and wise budget in a convincing argumentation before the City Council? In order to do that, we are going to present the city’s cemetery as a business that provides services for the constituencies.

Starting with the expenditures, we must point out the noticeable improvement the cemetery is planning on making in the coming fiscal year. For instance, the cemetery will be functioning far less in Corrections-Labor costs where it will be saving over $4,000. Also, will be cemetery if the next budget is adopted will be bringing down the unemployment rate in city by offering more jobs instead of giving overtime opportunities to those who already have a job. This can be noticed in the decrease of money allocated to overtime and the increase in salaries and wages. The cemetery is planning to offer more benefits (Medicaid) to the workers as well. It could be seen as an increase in the city’s expenses, but they are really profitable to the community in the sense that it will be helping improving the community’s standard of living. Creating jobs is such a noble advantage that it will have a positive impact on the overall livelihood.

So, in order to avoid giving reasons to our political adversaries and the constituencies to use the lack of a functioning cemetery in our city, it is important for us to reach a agreement and the city cemetery budget adopted.

Concerning the revenues, there are significant improvements as well that we will also point out. While the cemetery will be improving the overall standard of living in the city, it will also be generating more revenues to cover the expenses.

For instance, grave openings, transfer gf operations, lots and monuments sales, will be generating more revenues than they did this past fiscal year.
Appendix T: Assignment on Purchasing

Purchasing

The impact of a nonprofit is frequently gauged by the reach and effectiveness of its services. Nonprofit organizations feed the hungry, clothe the naked, and provide for a great variety of other needs in the United States. They also are an important means by which we educate, and a primary means by which we come into contact with arts and culture. Nonprofit organizations serve in a variety of sectors, such as religious, education, health, social services, commerce, amateur sports clubs, and the arts. Nonprofits do not have commercial owners and must rely on funds from contributions, membership dues, program revenues, fundraising events, public and private grants, and investment income. Not-for-profit organizations are required to track expenses by natural category and by function for transparency and accountability purposes.

So, in order to fully operate, nonprofit organizations like any other organizations make purchases to acquire goods and services. As we learned at the beginning of the semester, the budget is a planning tool. It allows organizations to attain their goals through planning how to use revenue and expenses.

From my experience I know that, at the end of every fiscal year, many organizations depending on some types of grants place big orders for equipment, furniture, or organize big parties. Since I did not know much about budgeting, I kept wondering why the leaders of these organizations are wasting those big amounts of money for things that the organizations don’t necessarily need. I would have rather supported the idea of raising the employees’ salaries instead of “wasting” the money. I learned later on each budget has line items and each item is assigned to a specific purpose. This is certainly a reality that most employees without knowledge in budgeting don’t necessarily understand unless the leaders take time to educate them on the subject. It could spoil the overall moral of the employees, which could negatively impact the productivity and threaten the organization future in the short or long run. The organizations probably do not want to lose any part of their grants; that might be the reason why they use tricks to show the money is being used. In my view, the organizations would be better off by communicating with the employees for the sake of the institutions. An employee well informed would not rush into conclusions; he would understand and care more.

However a question remains: why do those organizations wait until the very last moments before the end of the fiscal year to make those huge expenses as if it was not planned? Now I wonder if it is good planning to use the money only for the sake of it for the simple reason that they don’t want to lose it
because it. For nonprofit organizations, is there a rule that require in what proportion they should spend their revenues?

It seems that the IRS does not require that nonprofits spend any particular portion of their income on each category. The only requirement is that nonprofits have the obligation to report how they spend their money. However, “the commonly accepted rule most of them follow is the less spent on overhead, the better a nonprofit looks to donors.” The donors would not support the organizations if they are not sure that their money will be put to good use. This is why guidelines are necessary. Having guidelines should help organizations put together spending plans that will help them make good decisions and achieving their final goals or their missions.

According to an article that I read this week, entitled: Nonprofits must report how much they spend on operating expenses but this isn't always a fair indicator of performance, “charity rating organizations grade nonprofits partly on how much they spend on these expense categories.” The author goes on using the example of CharityWatch.com to state that it’s reasonable for most charities to spend up to 40% of their budget on operating expenses, which means that at least 60% should go to programs, and 40% should go to everything else. If a charity spends less than 40%, it gets higher grades from CharityWatch, with those spending 25% or less on operating expenses receiving the highest “A” grades. Charity Navigator, which employs a modern rating system, encourages nonprofits with lower operating expenses by giving bonus points. The ultimate goal is to have no more than 35% of a nonprofit’s budget spent on operating expenses.

Source:

Appendix U: Journal Week 4

PA395 Women in Leadership

Tuesday’s Journal Question: (Write your answer in Journal Week 4.) How do you define the concept of leader and leadership? Has your opinion of what makes a person a good leader changed over the course of this class?

If we define leadership as the process of influencing the activities of an organized group toward goal achievement, then a leader is the person in charge of guiding the process. As it appears, leadership is interpersonal influence, exercised in a situation, and directed, through a proper communication process to attain specified goals. In other words, leadership is a process by which a person influences others to accomplish an objective and directs the organization in a way that makes it more cohesive, coherent and productive. With willpower and some passion, one can become an effective leader. As we learned in class earlier on, good leaders are made, not born. Good leaders continuously train and educate themselves and build experience, which will guide them all along. To inspire his/her team members into higher levels of teamwork, there are certain things the leader must be, know, and, do. These things do not often come by chance, but are acquired through consistent work and study. Good leaders are continually working and studying to improve their leadership skills. In his article entitled four ways to define leadership, Zeitchik states that “Leadership is inspiring others to pursue your vision within the parameters you set, to the extent that it becomes a shared effort, a shared vision, and a shared success (Zeitchik, 2012). The definitions of leadership have a couple of elements in common, which are:

- A person influences others to get something accomplished
- Leadership requires others to get something done
- The need to reach a specific goal

Leaders carry out this process by applying their leadership knowledge and skills. This is called Process Leadership (Jago, 1982). However, we know that we have traits that can influence our actions. This is called Trait Leadership (Jago, 1982), in that it was once common to believe that leaders were born rather than made. These two leadership types are shown in the chart below (Northouse, 2007, p5).
Before this class, I do not recall that I ever took time to think about women and leadership and realized the stereotypes women deal with daily, the double bind and the all the challenges women face. I almost never paid attention to the barriers whether internal or external, implicit or explicit, they face. This class rose my level awareness about the topic and I have learned a lot about it. Over the course of this class, my opinion of what makes a person a good leader has slightly changed. Thanks to this class, I learned effective ways a person can use to be a good leader. For instance, I learned that being authentic is very powerful, ignoring critics because they can easily be a distraction. I learned from Brené Brown that vulnerability is the center of difficult emotions, but also the birthplace of all the positive emotions we need in our lives such as love, joy, empathy, innovation, creativity and others. Therefore, we need to embrace vulnerability to succeed. I would like to say that this helped me sharpen my opinion of what makes a good leader. I must admit that opinion of what makes a person a good leader went from vague to much clearer.

Reference:

Wednesday's Journal Question: (Write your answer in Journal Week 4.) Identify three beliefs or values that motivate you to be interested in leadership?

The three beliefs or values that motivate you to be interested in leadership are the following:

- Having a family
- Excellence
- Achievement

For me family comes first because it is the beginning of all; it is who we are, it is the first school we attend. Family is the source of emotional support, love security and protection. Healthy family relationships is ultimately very reward in life. Our family is the place where receive the first tools and
where we start the preparation to face life. Our family is by essence, vulnerable. As we learned from Brene Brown’s speech, vulnerability is the center of difficult emotions, but also the birthplace of all the positive emotions we need in our lives such as love, joy, empathy, innovation, creativity and success. The love and support of family members motivates many us to continually strive to be better people. The development of strong moral character is one important benefit of a healthy family because it builds a bond between family members that is centered on a similar belief system. It is proven that families provide guidance to children regarding values, discipline and the internal code of conduct that motivates human behavior. The role model that I would like to be will first be for my children. I would like to train them to be role model someday and for my community. Healthy families encourage each member to become independent and self-sufficient. The parents can offer important and necessary guidance to their children to help promote independence that will serve a child as she/he grows up.

Excellence is the quality of being outstanding. I think it is the tendency of reach perfection. The most important step toward excellence is the mindset. When you build a corporate culture of excellence, you create organizational capacity and a structure that empowers, focuses and engages employees. Building a corporate culture of excellence implies setting a clear purpose and meaning that inspire the team members. A key feature of a Culture of Excellence is highly collaborative teams—both internal and external. Because every employee and all teams are working together toward a common organizational vision, they feel they are on the same side. In addition, because this collaboration is encouraged and rewarded from the top down, there is no more reason to protect individual roles, projects or expertise. Achievement is the stage of great realization. It implies a work successfully done using effort, courage or skills. It is the fruit or the result of a work well done. I constantly take steps to improve and perform well because I take pride in my work and as a leader, I would like to inspire others to do the same. In sum, for me a stable and healthy family life positively influence our social and professional lives and make us great achievers. I also believe that healthy and stable families teach great values to their members. Family owned businesses are leading the US economy because a lot more than just money drive them. They easily identify core values, translate them into action and use the values to build a strong culture. Establishing a core set of values gives family members a sense of purpose and the opportunity to commit to something greater than themselves. It ultimately lead them to success.

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Thursday's Journal Question: (Write your answer in Journal Week 4.) Describe two times in your life when you exercised leadership? Do they have anything in common? What specific skills or abilities did you demonstrate at these times?

As a maintenance unit supervisor, I think I exercise leadership every day at work. For this assignment, I will choose two different events where I exercise leadership.

I remember the first time I was called in to supervise a snow removal team on campus during a snowstorm. It was a Sunday and no one was on campus. The first thing I did when I came in was paging the team members and asking them to report to work for snow removal. The rule requires them call me once they receive the page and report to work within an hour after they received the page. After paging them, as I was waiting for them to show up, I quickly sketched out a plan assigning areas to them in teams of three to four employees. As they were showing up, I was sending them to their assigned with the equipment they needed to perform their tasks. In the meantime, I was reminding them the priorities:
- Making sure that they were showing up with their personal protective equipment to work safely
- Priority was given to clearing fire escapes, handicap access or ramps, entry ways, emergency exits and others

After sending all the team members to their assigned areas, I started going from one area to the next to make sure everything was done as expected. I did the rounds without micromanaging them, checking the areas and not the employees. In few cases, I had to call some teams back and work with them to address the issues. I had my snow shovel and snow blower following them. I made sure they took a brake and encouraged them to go inside warm up if they were feeling too cold. After the snow removal was over, I gather the team, we took care of the equipment (cleaning and storing the shovels and snow blowers), after which, I said thank you to them all and allowed them to punch out and leave.

Two years ago, my manager had his son graduating from UVM and he could be available to lead the custodial team covering the commencement’s main ceremonies on campus. Therefore, he asked me to lead the team. About two weeks to the event, I processed all the service requests and work orders. With my manager, we assigned the tasks to the supervisors. My assignment was to coordinate with the other supervisors and make sure that things move smoothly. In other words, I was assigned to be the floater. I told the supervisors that I trust them and would not be micromanaging them. The day of the event, I let
them lead their teams and I was available whenever they needed me. At the end, I said thank you to all the team members. Later, we received positive feedbacks from the customers.

For the upcoming commencement, my manager advised me that he will be not available and he is counting me to lead. I am looking forward to working collaboratively with my fellow supervisors and their teams to meet our customers’ expectations.

In both cases, the expectations were clearly laid out, but I was present and available in the field with the team members. I was available and ready to get my hands dirty if necessary. In both situations, I trusted the team members and avoided micromanaging them. In all these cases, I provided them with all the supplies I needed to perform their tasks and I showed them empathy.

For specific skills, I use some emotional and social intelligence skills to be effective in both cases.
Appendix V: Final Reflection paper

PA380 Internship

For my internship, I had the pleasure of working at the University of Vermont Custodial Services, now known as University of Vermont Facility Services since June 19, 2019 (date of All Hands Meeting). It was an internship in place since I work as a full-time employee for UVM Facility Services occupying the position of senior supervisor. This internship allowed me to address three major learning competencies; these resulted in a combination of skills, knowledge and traits that helped me to carry out my internship project, which mostly evolved around the theme of “custodial frontline supervisors’ empowerment.” As an intern, I was exposed to critical thinking, analyzing, communicating and interacting with a diverse and changing workforce and citizenry, promoting teamwork, interacting, cooperating through participatory practices and problem solving. Each of these competencies allowed me to better approach the theme of frontline supervisors’ empowerment through collecting and analyzing quantitative, qualitative data and suggesting recommendations to advance frontline supervisors’ empowerment. It has been a learning experience in a work setting where I have the opportunity to practice some theoretical principles.

One of the major learning competencies that I was exposed to was being able to use critical thinking skills to analyze quantitative and qualitative data to suggest solutions. For instance, the ability to use data such as the reports from the 2018 core audit inspections, the 2018 customer service surveys, the McKinsey assessment capacity grid surveys and most of all, the focus discussions with both high performer custodians and frontline supervisors were enlightening. Prior to my internship, my supervisor initiated a project with the goal of writing a handbook of principles and workflow for the supervisors and frontline staff. The focus group discussions provided me with some insight to make suggestions for the handbook. One of my suggestions consisted of advising the Department to set the tone by defining an organizational culture that will be communicated within the organization starting with an effective onboarding that could supplement the new employee orientation program. I am also suggesting that the handbook be the product of an organizational learning, which is the process of generating, retaining, and transferring knowledge within an organization. It implies, planning by identifying the problem and a possible solution, doing by implementing the change, checking by verifying if the desired outcome was achieved and lastly, acting by generalizing the result across the organization or starting a new change process.
One of my major “takeaways” when reflecting on the theme of this internship (frontline supervisors’ empowerment) is the constant realization of the sources of power. If power flows from the combination of access to resources, access to information and access to support and we admit that frontline supervisors are not empowered enough to successfully pursue the mission of the Department, it is obvious that at least one of these sources is not satisfying. Fortunately, the focus discussions revealed that the main challenge for frontline supervisors is the insufficient support and trust in some instances that frontline supervisors are experiencing or at least experienced for a long time. Could this be related to the unionized environment in which frontline supervisors work? It is certain that the lack of support of frontline supervisors mostly by the senior leadership is disempowering. However, it is also the frontline supervisors to make a good use of the resources, the information and the smallest support they have through continuous training and education, which lead to continuous improvement.

The other major learning competency that I was exposed to was the ability to communicate in a professional manner. It was valuable to communicate effectively since I was pulling information from at all levels within the organization (senior leadership team, frontline supervisors, and high performer custodians). I found myself sending out surveys, conducting focus group discussions for which I took a quick training session with Professor Koliba.

My internship also allowed me to practice collaboration and teamwork in a diverse work environment. For instance, collaboration and teamwork made the focus group discussions a successful experience. The combination of these learning competencies allowed me to contribute to the reflection concerning frontline supervisors’ empowerment, which for me made this internship meaningful.

This internship was beneficial at many levels. The fact that it was an internship in place allowed me to fulfill the internship requirements while performing my regular work. It was accommodating since it did not require me to request for time off. It also gave me the opportunity to apply various leadership theories pulled from previous classes, mostly from “Organizational Theory and Behavior” (PA302). For instance, among other concepts, I used the Mc Kinsey capacity assessment grid, the sources of power, the ladder of inference and the notion of integrative leadership. Being an employee of the organization allowed me to have an easy access to the resources such as the administrative review self-study, the core audit reports, the customer service survey and others. Being an employee and having a great relationship with my colleagues help with the collaboration and staff participation. The experience helped me have a deeper look at the organizer, which has raised my level of awareness about the struggles of the Department and enable me to suggest some recommendations. I even went beyond with
recommendations by starting to show the example by updating the list of the people of contact for each facility that my team services. In the same vain, I revisited my team members’ schedules and initiated a written backup plan for days of staff shortage.

Regarding the supervision, I received appropriate supervision. Even though, it was a new experience for my supervisor, he arranged to meet with me once a week to brainstorm, discuss topics related to principles and procedures support professionalism, which could contribute to frontline supervisors’ empowerment in UVM Facility Services, previously known as Custodial Services. Since the internship was a new experience for both my supervisor and myself, we met with Professor Koliba once to take his advice and suggestions. I regularly met with Professor Koliba to make sure that I was meeting the expectations. I am also grateful for the support I received from the department’s senior leadership team and frontline staff for their flexibility and participation in the surveys and focus group discussions.

For a career aspiration, I am more interested in human resources management and especially human capital empowerment and I firmly believe that this internship supported that aspiration. Reflecting on frontline supervisors’ empowerment offered me to work on a project that matters for our Department. Carrying out the project made me gain some knowledge and experience that count. I see this internship as a training platform that offered me the opportunity to conduct a project that exposed me to organizational assessment, trouble shooting, data collection and analysis and problem solving. It helped me learn more about the organization, its strengths and weaknesses. The recommendations I suggested might inspire training, which will increase performance. The internship also exposed me more to workforce culture, engaging with colleagues, team building, interacting with others to get to know their ideas and point of views. This experience will enhance my resume very well for a future interview purpose. As we known an employer can expect the basic knowledge in a relevant field for a required vacancy, therefore a candidate with little experience will make a great difference. Working on frontline supervisor allowed me to practice skills such as leadership, time management and others.

In conclusion, I admit this internship opportunity reinforced my view on the fact that empowered supervisors advocate, mentor, coach, guides, train, but hold staff members accountable. Therefore, they need to sell themselves as a credible spokesperson on topics. Their audience mostly composed of their staff members and customers need to believe in themselves. In addition, they need to sell their ideas so that their audience come away inspired, persuaded and enlightened, which is with no doubt, empowering.

Regarding my supervisor’s feedback, I submitted a request to that effect and I am still waiting for his response. I will be incorporating his feedback to this paper as soon as I receive it.
Appendix W: The Crisis in Express Transit Case Study

MEMORANDUM

Date: 10/25/1986

To: Franck Preston, Transportation Services Director

From: Clayton Baker

Re: Crisis in Express Transit

Our company, Express Transit, was once known nationwide for its reputation as a successful, innovative organization. We received many national acknowledgements and awards for exemplary management, safety records, and use of new technologies; and for its high level quality of service. Today, Express Transit is facing its biggest crisis. I am more than confident that with its core values based on the “can-do” philosophy, Express Transit will overcome this crisis and successfully rise to its position as leader.

The issues on the front page of the news concerning our company could have been addressed and even solved internally. It is quiet unfortunate that we have reached the level where we chose to utilize an external channel to speak out at the detriment of our company’s image we all worked so hard to build. Why did the employees use the newspaper rather than relying on the internal network of communication? The answer to this question is the key to the problem we are facing because it would lead us to other questions and answers.

I would like to take advantage of this memorandum to point out the allegations that I read in the newspaper, since they are mostly against the company’s branch of Vehicle Maintenance. I also would like to sketch out some suggestions of recommendations to help us out. The issues brought up include:

- Lack of employee recognition and accountability (lack of fairness and presence of favoritism)
- Lack of respect towards Express Transit equipment (wasted, abused or stolen)
- Disciplinary process ineffective (management unwillingness to spend the time required to document, concern with Union keeping bringing back the fired employees)
- Coordination problem (on the maintenance side, poor transition from one shift to the next leading to the practice of bypassing buses … sending back non repaired buses on the road)
• The computer system is said to be too complicated

Without discussing the allegations, I take full responsibility and decide to meet with my team in order to find a way out. As you know, the principle inter subjectivity has been proven to be productive; it has the merit to opportunity to all the actors to express themselves about the issue and make suggestions of solutions from their understanding of the issue. I truly believe in the input or the full participation of the employees to solve this.

I will also require some training sessions for all the workers under my management. The training’s topic will be focused around the philosophy of the company, the computer system that appears to be too complicated for the workers, and the team work. So, the transition from one shift to the next will no longer be an issue and the different bases will be able to work in good harmony.

In any case, the image of our company is already at stake since the involvement of the Centerville Globe. In my humble view, the first step is to create a platform of constructive discussions about the allegations and find out all the lessons we should learn from them for the survival of our organization. The purpose would be to bring the company back in track and keep it running for the sake of our customers.

We should certainly review and improve our internally network of communication and give more opportunity to the employees to express their opinions. It is also time to get them more involved in the decision making process. I will personally be more in the field and practice more effectively the principle of managing by walking around. Besides, we should try to implement the rules we have in place. The problem is not really about creating new rules, but implementing the ones that we have on the books.

We have a very experienced leadership team which once made Express Transit known as a successful organization, and nothing should prevent from regaining our reputation back. For instance, we should think of initiating an environmental protection project or at least sponsor one. That sort of project or new initiative could be a good way for us to clean up our image with the oil leak allegation in the news.

I truly believe that by getting all the work force involved in the search of solutions and by reviewing our network of communication, we can bring our company back on track and even do better than we all can imagine. The case is definitely not lost for Express Transit yet; we can still make it happen. While we are going through this; we should not lose sight of the “can-do” philosophy our company stands on.
Appendix X: Public Meeting/Burlington City Council Meeting

PA 305 Public meeting assignment

On Tuesday, October 13, 2015, I attended a Burlington, VT city council’s meeting as part of my Public and Nonprofit Budgeting class requirements this semester. After the traditional motion to amend or adopt the agenda, the agenda has been adopted without the least objection. Several subjects were brought to the table. Among the topics concerning budgetary items, there is one that particularly attracted my attention and that I found interesting. It is the topic about Burlington’s Memorial Auditorium. Among other topics, the topic of the Memorial Auditorium was brought in front of the City Council in order to convince them to restore it because it is a precious monument that means a lot to the community. What does the Memorial Auditorium represent for the Burlington’s community, the voters, or the constituencies? What does the City Council have to do with the restoration of the Memorial Auditorium? Why did they choose this particular public meeting to bring up the topic? These are the questions around which I would like to write my report. What the story is?

This was my first time to attend a public meeting. Through it, I saw a form of direct democracy where the opportunity is directly given to the members of the community to come together to legislate policy budgets for local government. The forums give the ability to the voters, the taxpayers to ask questions, make suggestions and get more involved in the decision making process. As we know, a city such as Burlington is governed mostly by the City Council composed of elected officers, which are fully empowered to act on most issues and are generally referred to as the municipality’s legislative body. Any budgetary item is first of all approved by them before the adoption of the budget. For them to approve an item that will be a budgetary one, they must be convinced that it will serve the best interest of the community. It is animated with the spirit of convincing the City Council that the Burlington Memorial Auditorium’s leaders presented the Memorial Auditorium case. They addressed the poor situation in which the building is. It is deteriorating too badly that they want something to be done about it. They want the City Council to agree on financing the cost of the restoration of the building.

In fact, they demonstrated how the situation of the Memorial Auditorium is decrypting, depressing and dangerous. And, regardless of how it’s appraised aesthetically, the mayor and the City Council should decide whether to tear it down and build a new civic arena in its place or spend at least $4 million just to maintain the building at its current “funky but functional” level. The Memorial Auditorium appears to be too precious to the community to let it in such a bad shape. The Memorial Auditorium is the place
where about 1500 locals come to shop and socialize on 13 Saturdays between early November and late April almost every year. The teens like Memorial Auditorium, too. They come to shows as well as to after school programs and music and dance camps that take place in 242 Main, the downstairs performance space that director Richard Bailey describes as “the longest-running all-ages club in the United States.” This is to show how important even precious the building is to the community, but the roughly $200,000-a-year operations budget for Memorial Auditorium doesn’t allow for the repairs needed to bring the building up to norms. The issue necessarily has to be addressed, despite what it costs. Long-deferred maintenance work seems to have pushed the costs to an estimated $4 million.

A price tag has been put for thorough modernization of the building or construction of a new facility at $10-15 million. Even though the city doesn’t have anything approaching that sum, so the most practical way forward, according to some suggestions, is through a public-private partnership that acts on decisions that emanate from community-wide deliberations.

This is not the very time that the City Council is approached with the issue concerning the Memorial Auditorium and it came up through the mayor’s allocution. He mentioned the public works submitted to the City Council this past September. The major reassured the audience that Memorial Auditorium case rose serious matters that have been taken care of at the municipal level. In the same line of thought, he also remained the public of the budget approval for the roofing. He went on stating that the Memorial Auditorium maintenance will be covered by a ten year capital plan, but some decisions need to be made earlier next year about it.

Reference:

http://www.sevendaysvt.com/vermont/will-burlingtons-next-mayor-spare-memorial-auditorium/Content?oid=2183739
Appendix Y: Discussion Board Questions Week 3

**Discussion Board Questions Week 3 - #5:** Who were the three women whose interviews you read/watched and what made each of them remarkable? What surprised you? Were there any common themes?

I picked:

**Christine Lagarde**, Managing director, IMF: She mentioned that women who succeed generally got some support from their mother, father, mother-in-law or they live in countries where domestic support is easy or cheap.

**Meg Whitman**, CEO, Hewlett-Packard: from the major take away is that “you are only good as the people working for you.” She said she needs the right person with the right values to do the do and succeed.

**Etharin Cousin**, Executive Director, World Food Program: for her, it is all about learning to balance and to say “no I can’t” whenever you cannot. For her that is what any woman should do in order to be powerful and be comfortable.

I found in their remarks as core values that are intimate and personal to them. In the light of the last two readings, I am a bit surprised to see how amazingly women are overcoming the stereotypes once attributed to them. They are realizing they can win the battle by being themselves, accepting who they are, asking questions, forming their own opinion and empowering themselves. I would say that what these women have in common is the “burning spirit”, the deepest passion for success each one of them in her own way following her personal style. The common themes are; truthfulness to oneself, personal style, the passion.

**Discussion Board Question Week 3 -#6:** What rules for success most resonated with you? Did you see any differences in approaches from the three women who were interviewed in the 10 Rules for Success videos?

Here are 10 rules of success that most resonated with me:
- Seize your opportunity, from Oprah Winfrey
- Believe (more than a simple dream), from Winfrey
- Work on yourself, from Oprah Winfrey
- Be authentic, from Michele Obama
- Keep moving, from Michele Obama
- Enjoy the balance, from Michele Obama
- Earn your success (do not take shortcuts), from Michele Obama
- Embrace vulnerability (vulnerability is the center of difficult emotions, but also the birthplace of all we need in our lives such as joy, love, belonging, empathy, innovation and creativity), from Brene Brown
- Let go of perfectionism (the ultimate fear, which is not to be confused with trying to be excellent), from Brene Brown
- Risk failure, from Brene Brown

I have almost not seen any differences in their approaches; they are all about being authentic (“be the highest truest of yourself as Oprah puts it”). Their approaches are all mostly self-centered. They are all about working hard on themselves without letting themselves be distracted by the rest of the world in their journey to success. The difference could be in the personal stories and personal life experiences since childhood, but the result remains the same: success.

**Lesson 1 Journal Question:** (Write your answer in Journal Week 3) with the variety of women highlighted in the reading, can you observe some common themes? How do these themes resonate with your own experience?

Even though I am not a woman, being an immigrant and a person of color living in the US in a state heavily dominated by white people might give me an idea of what women in general and women of color might experience in this country. With the variety of women highlighted in the readings, I observed some common themes and some resonated with my own experience.
The main common theme that each woman’s story highlighted is authenticity and everything else seems grounded on authenticity. Besides authenticity, we have personal style, passion, risk taking and success.

Being authentic is the cost of overcoming external limitations, the pressure exercised on women due to the stereotypes we learned about in the early weeks of this class. As we learned, women were framed and raised in a certain way only because they are women. The weight of these are stereotypes are so heavy to the point that doubting themselves and lacking confidence in themselves felt normal.

Today, women are realizing that no matter what they do, they will face the double bind and they cannot control the stereotypes let alone their authors. Despite all their effort to behave like men, they will never be appreciated as such and they will keep hurting themselves. Assimilation appears not to be the solution. What is next?

Therefore, authenticity appears to be the key. They are learning to be true to themselves, because it is the only way to be powerful and comfortable in their skin, as we hear from the interviews. Each of them based on their own life and professional experiences would develop her personal style and own it instead of trying to own someone else’s style. They are trying to lead themselves led by their own deepest passion and working on never underestimating the human spirit in them. Since they cannot control the stereotypes once developed against them, they will try to control themselves and simply ignore the stereotypes, fight the sense of guilt that once animated them and make them doubt and lose confidence in themselves.

As an immigrant and man of color in the US, I face stereotypes every day socially and professionally. Some people think that all immigrants are refugees, uneducated and live on welfare on taxpayer’s hard-earned dollar. The might explain so much hatred some people show towards immigrants in this country. I have so many stories to tell that I find it ridiculous sometimes. The reality is that not every immigrant is uneducated and live on welfare and no human being deserves to be looked down on. Since, there is not much to be done against the stereotypes; I decided to focus on my family and myself. I decided to pursue my studies support my family members in their studies as well. Besides the studies, I am working hard on building great connections with people in which some core values that I aspire to embody. It is so hard to balance family life, work and studies, but I think it is not impossible to reach. The most important for me now is that I am enjoying the journey and I have faith the result is not that far way.

Watching and reading the success stories of these women make me confident and hopeful. I can easily identify my own journey to their journey of success. From now on, I try to remember the great of former
US President Roosevelt, a quote that Brene referred to about critics: “It is not the critic who counts. ... The credit belongs to the man who is actually in the arena; whose face is marred by the dust and sweat and blood; who strives valiantly ... who, at worst, if he fails, at least fails while daring greatly; so that his place shall never be with those cold and timid souls who know neither victory or defeat.”

**Lesson 2 Journal Question:** (Write your answer in the Journal Week 3.) Think about the leaders we have been learning from and identify a list of skills and qualities that a good leader needs to have. (Examples might include honest and ethical behavior, ability to communicate to a variety of audiences, ability to articulate a vision for the organization, etc.)

John C Maxwell defines leadership, “A leader is one who knows the way, goes the way, and shows the way.” A good leader has a vision and ideas. He knows how to turn his ideas into success stories. Here some skills and qualities that I believe good leaders need to have.

- **Honesty and Integrity**
  One of the unquestionable leadership qualities seems to be integrity. Trust is built around it and no real success in an organization setting is conceivable without it. Honesty and integrity are two important ingredients that make a good leader. How can you expect your followers to be honest when you are dishonest and untrustworthy yourself? Leaders succeed when they can be trusted for the fact they stick to their values and core beliefs.

- **Confidence**
  An effective leader must not hesitant or show signs of doubt. He must be confident enough to ensure that other follow his instructions. When a leader is not sure about his own decisions and qualities, the employees reporting to will have hard time following her/him. A good must be able to show assertiveness to gain the respect of her/his subordinates. This is also helpful for building trust. It is very important for a leader to reflect a certain level of confidence to ensure that the followers trust her/him.

- **Inspire Others**
  A leader must be persuasive to inspire others to follow, which is only possible when the leader sets a good example. As John Quincy Adams puts it, “**If your actions inspire others to dream more, learn more, do more and become more, you are a leader.**” When a leader succeeds in inspiring her/his followers, she/he can easily overcome challenges.

- **Commitment and Passion**

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One of the best ways to gain the respect of the subordinates is to show them your level of commitment to the task. As we heard it in one of the interviews, we are only as good as the people working for us. When the subordinates see their leader involved and getting her/his, hands dirty, they will commit and give the best of themselves as well. However, when they discover that their leader is not fully committed or lack passion, then the leader will have hard time motivating to achieve the goal.

- **Good Communicator**
  It is almost impossible to be a good leader without being a good communicator. Until the leader communicates effectively her or his vision and strategy to reach the goal, it will be hard to get the expected result. They say words have the magic power of motivating people and making them do the unthinkable.

- **Decision-Making Capabilities**
  A good leader makes the right decision at the right time. She/he thinks long and hard before taking a decision and stands by it once the decision is taken. It is recommended to consult key stakeholders when making some big decisions.

- **Accountability**
  As Arnold H Glasow puts it, “a good leader takes little more than his share of the blame and little less than his share of the credit.” It is the leader’s responsibility to make sure that her/his subordinates are accountable for what they are doing. Therefore, they should be recognized for their good actions and when they struggle, the leader should make them realize their mistakes and work with them to improve themselves. Holding them accountable make them responsible and motivates them to go about the job more seriously.

- **Delegation and Empowerment**
  The good leader is not the one who does everything by himself, but the one who delegates power and empowers her/his team members. Micromanaging the team members might easily lead to lack of trust. The good leader focuses on key responsibilities and leave the rest to others. The good leader delegates tasks to subordinates and sees how they perform.

- **Creativity and Innovation**
  Steve Jobs known for being of the greatest visionaries of our time once said, “Innovation distinguishes between a leader and a follower.” Good leaders must be up to date, innovative and creative to be able to
follow the trend. They must be able to think out of the box to come up with special ideas and turn them into reality.

- **Empathy**

Leaders are tempted to follow a dictatorial style and neglect empathy. Therefore, they miss opportunities to make a closer connection with their team members. They should be developing empathy with their followers. Mindfulness is an important step to become an effective leader. Great leaders go beyond feeling the pain their followers are going through and work to provide them with solutions to their problems.

Reference:
Top 10 Leadership Qualities That Make Good Leaders, By Sarmad Hasan, February 13, 2017
Retrieved from https://blog.taskque.com/characteristics-good-leaders/

**Lesson 3 Journal Question:** (Write your answer in Journal Week 3.) If you ever ran for political office, what would be the biggest barrier you would need to overcome? Why is it important for you – or someone with a similar background and experience as you – to serve in public office?

If many people still vote for candidates based on their party affiliation, other, however, cast their votes based on specific qualities they look for in the candidate. As a political candidate running for office, I would like the constituents to appreciate in me qualities such as honesty, compassion, integrity, confidence and flexibility.

For me to display some of these qualities, the one of the biggest barriers that I would need to overcome is the denial of vulnerability. As Bréne Brown puts it in of her speeches, vulnerability is the center difficult emotions, but also the birthplace of every positive emotion we need in our lives such as love, belonging, joy empathy, innovation and creativity. For instance, being honest makes us vulnerable, sometimes. It reveals who we truly are and makes us disclose our mistakes, which gives others and mostly our opponents, the opportunity to criticize us and make constituents reject us. However, honesty develops and builds credibility and trust. Those are the foundation of confidence and respect from the community including political leaders, teammates and constituents. Compassion seems also imbedded in vulnerability. How can we truthfully show compassion with experiencing vulnerability? Yet,
compassion is the humane quality understanding the suffering of others and wanting to do something to relieve that suffering. Many people see compassion as a weakness, but true compassion is a characteristic that leads awareness and wisdom. I believe that good politician leaders use compassion to see the need and take the lead. It helps them determine the course of action that ends up benefiting all.

The other barrier that I would need to overcome might be self-doubt and lack of confidence. I guess it is a bit normal for everyone to have some self-doubt and insecurity. However, it could be harmful because it an insidious feeling that prevents people to see their qualities and strengths.

I thinks it is important to serve in public office or at least to get ourselves involved as citizens to avoid being passive actors. Running for public office has the advantage of helping us know and help our community. Our community might need help and we believe we might have the skills to fill that need. Instead of standing aside and criticizing, it would be more efficient and effective to step in, get more involved and get our hands dirty. It might not be as simple as it sounds like. In addition, running for public office, might give us the best platform to advocating for causes. If there is a specific cause or policy affecting my community and I feel that I can have a real impact on the issue, running for office might be the way to go to my voice heard. I am not so sure about myself, I learned in my readings that it important for people to serve in public office for many reasons.

People run for personal reasons: Some candidates run because they feel threatened by their opponent. The candidates, who run for personal reasons, usually tend to want to stick it to their opponents and they are ready go negative if needed. They seem to have a vendetta against an official or an office. For them, the best way to fix the problem is by running for office.

Some people run for psychological reasons instead: in this case, the candidates choose to run to stoke their own ego, to be in the spotlight, and have people tell them how great they are. These candidates are running to be something rather than to do something. Many times this is about the perceived quality of life improvements associated with being an elected official. More often, they want to make a bigger salary, or get rich becoming a lobbyist after their service. The title sounds nice to them and they think people will respect them more they worry less about the issues in the community.

Others also run for altruistic reasons: Some candidates run because they legitimately want to change policy and make a difference in the lives of their constituents. These candidates are very
few. It is important to set reasonable goals so that you do not disappoint yourself and your supporters. I feel like I could belong to this category.

References:

Why do people run for office?

Retrieve from https://www.smartercampaigns.com/content/why-do-people-run-office
Appendix Z: Leadership Case study/Interview with Kristin Winer

PA395 Leadership Case study/Interview with Kristin Winer

Division Finance and HR Manager; Director of Retail Services

College of Engineering and Mathematical Sciences Lecturer

Findings from the interview

For my Leader Case Study assignment, I had the opportunity to conduct an interview with Kristin Winer. She is the HR Manager and the Director of Retail Services in the University of Vermont’s Division of Finance. She is also a lecturer at the College of Engineering and Mathematical Sciences at UVM.

I chose her for this assignment because I saw her displaying amazing leadership skills as described in the class materials we studied so far. I also saw her quickly moving up the ranks to become the Director she is today. I heard her speaking publicly. She was the chair of a customer service committee I was part of and I saw her leading professionally the committee’s meetings. She is also member of a steering committee overseeing our department. I met her for the first time during a program’s training session that we took together in from February to July 2013. The program is known as Supervisory Learning Series. Reading and watching all the course materials that went through in the last three weeks makes me wonder how she did it so successfully. This assignment happens to be the perfect occasion to approach her and better educate myself about her pathway to success as well as her challenges.

To the question of what has been Kristen’s pathway to leadership, she responded that education comes first. She added that education was not the norm in her family. Only her father has some level of education and he served as her role model for her. Having a skill set has always been important. In college, she studied Mathematics and Science and earned a degree in Engineering, and then she went for a MBA later because she realized that being a simple engineer was not enough for her ambitions. While working as an engineer for Disney, she felt that it would be better for her to have some knowledge in marketing and finance to boost her career. After the MBA, she was all prepared and “ready for the opportunity to com In the meantime, she tried to build a network of connections and find good mentors. When she felt prepared, she committed to work on hard projects that no one wanted, which allowed her to highlight her talents. Some of the difficult projects, she refers to as ugly situations were related to
transportation planning, people strategy and other. From Disney, she joined the operations’ senior leadership at UVM (Administrative and Facilities Services) where she had the opportunity to work on some financial and human resources projects. She was hired at UVM as a Senior Financial Manager and was promoted after to occupy the position of Administrative Manager for the Division of Administration and Facilities Services and Print and Mail. Because, she successfully handled the projects that she worked on, she was appointed to her current position as HR Manager and Director of Retail Services. For her the best way to highlight our talent is to work on ugly situations, projects that no one wants.

To the question of what barriers she faced and how she addressed them, she replied that early on, being a young woman in leadership was very difficult to sell. She said she also faced fear and the feeling of being not qualified enough, which led to self-doubt. However, with the support of her mentors, she learned how to fight the feelings holding her back. She quickly started to speak up and sometimes louder to be heard. She was no longer afraid to participate. She said that some barriers are explicated, but others are implicit and those are the most challenging ones.

Her advice to deal with barriers is to be aware of them, be tenacious and refuse to take seat back.

When I asked her how she thinks about your own authority, she responded that she tries to be mindful by putting herself in the shoes of the employees reporting to her. For Kristin, one of her goals is to protect the University’s assets including the employees.

When asked how resistance to her leadership affected her success, she replied that whenever she feels some resistance to her leadership, she always digs deeps looking for the reasons of the resistance. She said that most often, the resistance is motivated by fear not being able to perform the task as expected or the fear of not having the skill set required to perform well and the fear of display some vulnerability. The resistance could also come from the lack of confidence of the employees resisting the authority. The fear could lead to hatred if not properly handled. Therefore, when facing such situations, Kristin finds the right time to bring the case on the table and talk it through. She invites the employee and confront him on whatever the situation is.

To the question of what is her advice to me, she told me be true to myself and to keep doing what I am doing, studying and building skill set. She told me to keep being brave and bright and she said sees that I bring something to the table. She also advised me to carefully watch the dynamic of the room that I am in because people have different source of interests; some are driven by money, others by power,
integrity or other things. She added that when you know the people surrounding you, it becomes easier to work with them and pick the greatest mentors based on what you value the most to boost your career.

Major takeaways and links with course materials

✓ On the stereotypes

As the number of women in management roles increases and organizations place a greater emphasis on diversity, a subsequent change in perceptions of women as leader-like is still expected. However, stereotypes held by men nowadays remaining strikingly like stereotypes held by men managers years ago. The double bind is still a reality. Kristin despite being a woman displays the men leader’s stereotypes characteristics: well educated, skilled, competent, fearless, strong, outspoken, decisive and other, which brought her to her current position of director. It is obvious that she is not like by some men reporting to her due to the resistance she is experiencing.

✓ Learning from Kristin’s success

Listening to Kristin, authenticity appears to be one of her greatest strengths. She stayed herself despite all the criticisms that she faced because she was displaying men’s stereotype characteristics. Her critics wanted her to behave more like a woman, but she stayed who she truly is and kept working on improving herself and pursuing her dream. As we learned, being ourselves allow the maximization of effectiveness, productivity and performance. I would say this is something that Kristin very well understands. She also refused to fit into a standardized job and took the risk of tackling difficult projects that one wanted. It allowed her to highlight her talent and be heard. I must say, she won against the odds by taking some risks. She focused on the journey rather than the critics. That reminds us of the US former President’s quote that Brene Brown cited in one of her speeches saying; “It is not the critic who counts; not the man who points out how the strong man stumbles, or where the doer of deeds could have done them better. The credit belongs to the man who is actually in the arena, whose face is marred by dust and sweat and blood; who strives valiantly; who errs, who comes short again and again, because there is no effort without error and shortcoming; but who does actually strive to do the deeds; who knows great enthusiasms, the great devotions; who spends himself in a worthy cause; who at the best knows in the end the triumph of high achievement, and who at the worst, if he fails, at least fails while daring greatly, so that his place shall never be with those cold and timid souls who neither know victory nor defeat.”

With the double bind, no matter how hard you work, there will be people undermining your efforts and finding a reason to look down on you. Therefore, being yourself is the way to go to be effective and successful. How well can we imitate others without alienating ourselves?
Kristin also puts a great value on self-confidence through education, building skill set and network of connections. Once she was sure about her skill set, she found her own way of convincing people of her talents and approaching great mentors to boost her career. Kristin very well understood that overcoming her internal limitations as a woman would allow her to conquer the world and she paid the cost of inaction by being brave and refusing to take the back seat. She let herself led by her deepest passion and as Billie Jean King puts it, Kristin “never underestimated the human spirit” in her.

In sum, Kristin convinced me that since we cannot control the critics, we should then ignore them when they are not constructive and be authentic. I believe that stereotypes will change with time as women reach high office positions and as the society changes. As Sheryl Sandberg advised, women should not shy away and stand up for their dreams. She also added that the conversation must continue. I agree that this is on only on women. It is on all of us as a society.
Appendix Aa: Personal Leadership Plan Assignment

PA395 Women in Leadership
Assignment: Personal Leadership Plan
Due date: 7/22/2018

Section 1. Leadership Vision

I joined the leadership team of our department as a Maintenance Unit Supervisor in December 2012. My role is to oversee the work of ten employees and work closely with my manager to train, inspire my team members and to provide them with the supplies they need to perform their daily tasks. Part of my job is to advocate for my team members. As a leader, I am well aware that I must continue to improve my leadership skills through mostly training and education. I decided to take professional development trainings and enrolled myself as a Continuing Education student to start taking college level courses. Later, I successfully applied and was admitted as a graduate student into the Master of Public Administration program.

As a leader seeking to demonstrate great leadership, here are the qualities, skills and abilities, I would like to display to be impactful and a source of inspiration for my team members. These are the bullets points I took away from the section entitled learning from success:

- Seize your opportunity, from Oprah Winfrey
- Believe (more than a simple dream), from Winfrey
- Work on yourself, from Oprah Winfrey
- Be authentic, from Michele Obama
- Keep moving, from Michele Obama
- Enjoy the balance, from Michele Obama
- Earn your success (do not take shortcuts), from Michele Obama
- Embrace vulnerability (vulnerability is the center of difficult emotions, but also the birthplace of all we need in our lives such as joy, love, belonging, empathy, innovation and creativity), from Brene Brown
- Let go of perfectionism (the ultimate fear, which is not to be confused with trying to be excellent), from Brene Brown
• Risk failure, from Brene Brown

This truly amounts to being authentic or being the highest true of ourselves, as Oprah Winfrey puts it.

As we learned, good leaders do not take their positions for granted. Leaders have the opportunity to inspire and empower others and can make a difference in colleagues’ careers. Communicating expectations and objectives clearly is a key to successful leadership. I have invested time in developing my team and promoting a culture of responsibility and customer service. However, I mostly see myself as a coach. To achieve this, I am trying to develop a personal leadership vision statement that I can use to hold myself accountable as the leader I expect and want to be. As Oprah Winfrey puts it, “Create the highest grandest vision possible for your life, because you become what you believe.” As she said in her ten rules for success, the first rule is “understand the next right move.” All the moves, put together certainly create the path to success. Moreover, Rosabeth Moss Kanter reiterates adding that “A vision is not just a picture of what could be; it is an appeal to our better selves, a call to become something more.” The true question is; what do we want to achieve today and continue into the future? It is important for leaders to create a personal vision statement listing the goals they expect for themselves. These goals should align with how they envision their leadership and what they expect to achieve as a leader. For vision, I see myself as role model, a trainer and a professional talent developer, inspiring young adults about to embrace a career.

It was a bit tricky for me to developing a vision statement. I had to think about who I wanted to be as a leader and what I wanted the employees I supervise to take away from working with me. As we learned from Anne Morris, leadership is not about the leader, but about making other people better because of the leader’s presence and making sure that, that impact lasts in the absence of the leader. It is about making sure that the system and culture are in place to help set up others to succeed; it is not about personal charisma. I would not want fall into the category of leaders who tend to micro manage, and control those reporting to them. Lack of communication and accountability on all sides can cause a hostile working environment, which can lead to resentment. However, clear communication in the form of open-ended questions is a great way to genuinely know what your employees need and want. A great leader must instills confidence and followership by having a clear vision, showing empathy and being a strong coach.

In sum, one of the greatest quality for me is authenticity. It allows us to reach our full potential because assimilation or imitation simply alienate us. As Jeremy Bloom puts it; “It’s true that imitation is one of
the greatest forms of flattery, but not when it comes to leadership — and every great leader in my life, from Mike Tomlin to Olympic ski coach Scott Rawles, led from a place of authenticity. Learn from others, read autobiographies of your favorite leaders, pick up skills along the way… but never lose your authentic voice, opinions and, ultimately, how you make decisions.”

Section 2. Personal Mission Statement

We would agree that a great leader understands that his/her external environment is a true representation of how much he/she can grow from within. Certain skills and expertise contribute toward making a good leader. However, to move from a good to great leader, one has to focus on personal growth to influence the growth of one’s team and organization. Mostly, growth from within is typically driven by a personal mission. The personal mission usually defines who we want to become, what we stand for and how we will live out our purpose. Many leaders are not certain what their personal mission is because they are guided by different motives. For me, writing out my personal mission statement down is the best way to get clear on what my personal mission is.

My leadership mission statement is to consistently serve as a role model, lead with integrity, fairness, humility, and clear and honest communication. To develop and empower my team, all the while creating a respectful, enjoyable, and professional working environment and to win against the odds. To be an amazing husband, father, son and friend who is always there. As a role model, I should work on empowering whoever reports me to build an overachieving team. This implies that I need to delegate responsibility and authority even though giving away responsibilities is not always easy. It can actually be harder to do than completing the task myself, but with the right project selection and support, delegating can pay off in dividends. It is how we truly find people’s capabilities and get the best out of them. It would eventually come with practice because persistence always beats resistance. I should also work on creating a culture of trust and mutual respect. The truth is that the more we model respectful and responsible behavior, the less we feel the need to micromanage our team members. I should inspire those around me to share the view that success takes sacrifice, and anything worth doing is worth doing well.

Section 3. Leadership Strengths, Barriers and Opportunities

Concerning my leadership strengths, I think effective communication is very important. How can we affect or influence a team without communicating effectively with them? Effective communication
sounds like it should be instinctive. Often, when we try to communicate with others something goes wrong. We say one thing, the other person hears something else, and misunderstandings, frustration, and conflicts ensue. This can cause problems in your home, school, and work relationships. For many of us, communicating more clearly and effectively requires learning some important skills. Whether you’re trying to improve communication with your spouse, kids, boss, or coworkers, learning these skills can deepen your connections to others, build greater trust and respect, and improve teamwork, problem solving, and your overall social and emotional health.

Authenticity is another strength that resonates with me. Nancy Pelosi said; “Be yourself”; Michele was more direct saying; “Be authentic”. In one of the readings, women were advised to stop negotiating with themselves because they tend to disvalue themselves based on the stereotypes. Being authentic seems to be one of the highest virtues because as we learned, knowing, accepting and remaining true to oneself by acting in accordance with one’s principles is best quality one could ever rely on her/his journey to success. Bringing oneself to a welcoming environment leads to maximum effectiveness, productivity and performance, whereas, assimilation leads to anxiety, psychological suffering and alienation, which hurts effectiveness and productivity.

For women, the biggest barriers are the stereotypes nurturing the double bind and criticism. As a person of color and immigrant, I face some stereotypes, which gives me an idea of what women in leadership face. We are all put in some sort of boxes and when we prove that those stereotypes are wrong, we are disliked. The biggest challenge in such an environment is to overcome the so-called “impostor syndrome”, which is the perception that many women or people from minority group feel they do not deserve their success. The following suggestions were made to help deal with the impostor syndrome:

- flipping the script,
- finding encouragement in all places,
- keeping good company,
- redirecting negative energy,
- tuning out the noise,
- not buying into it,

My leadership style is more of the cross-cultural type, which require leaders who can adjust to different environments quickly and work with partners and employees of other cultures. I work in a very diverse
workplace with employee from over twenty different countries and cultures. As a leader, I need to be good at leading and managing people of different cultures. I need to listen to the voices of the people as well as understand what those voices may actually be telling me. I tend to mix the cross-cultural leadership type with the collaborative type. Unless, someone proves me wrong, I sincerely believe that everyone is a valuable asset and has something to bring to the table. My role as a leader is to help highlight the sleeping talent in everyone. Billie Jean King advises, “Never to underestimate the human spirit” that she also refers to as the “burning spirit”. She goes on adding that we only need to overcome our internal limitations, be brave and conquer the world.

I think I need to work more on embracing vulnerability as suggested by Brene Brown. In addition, I have not been always good at ignoring critics. Both admitting vulnerability and ignoring critics are still in some instances holding me back and affecting my level of self-confidence and doubt. I simply need more work on these areas.

Kristin Winer, the woman that I interviewed for my leader case study assignment was able to overcome fear, doubt, and lack of confidence by relying on education, professional development training and great mentorship. For her, getting well educated and trained got her prepared for the opportunities to come. I guess I should follow her path because when you master a subject and have the proper skill set, confidence follows along.

Section 4. Your action plan

At all levels of leadership; personal, professional and as a member of my community, the following steps might help me develop and improve my leadership skills.

- **Engage my motivation**: in order to become a top-rate leader, I must be motivated and driven to develop my leadership competencies. I must have the proper mindset and get ready to work hard to develop your leadership competencies. I must be able to take constructive criticism in an effort to improve and be willing give up old, ineffective strategies and try new ones.

- **Assess my current strengths and developmental needs**: I should begin with an assessment of my current strengths and areas that need improvement, which implies engaging in a self-reflection. I will need to ask myself some key questions such as what am I good at? What do I need work on? I might also try to get feedback about my leadership strengths and developmental needs by asking my coworkers, the people I supervise, my manager, family members and community members. Getting feedback from all direction is referred to as 360-degree feedback.
The advantage is that I might gain insights from those around me who see me in different roles and from different perspectives.

- **The Core competencies leaders mostly need:** be smart, be an active listener, be emotionally intelligent, and have the right character to lead effectively. Be aware that sometimes leaders just make bad decisions. Sometimes leaders fail because they lack empathy and lose follower support.

- **Develop cognitive and social skills: as I mentioned, to be effective as a leader, I need to be smart.** It simply means that I need to know what I am doing, and how to make the right decisions. Learn about the business and about my work team. Learn how to collect and analyze data to inform decisions. Being “socially intelligent,” the way the scholar, Daniel Goleman describes it, is learning to be tactful in communications, and seeing things from others’ perspectives. It will help me learn how to solicit valuable information from my work team, from peers, and from mentors.

- **Get Feedback:** It is important that you receive feedback. Having a mentor or coach who will gives honest and constructive feedback is one strategy. Another strategy is to ask my direct reports if they have noticed improvement. It is helpful to use mistakes as a learning tool to further develop my leadership competencies. As Brene Brown puts it, we need to embrace vulnerability. Admitting that we are not perfect, leaves room for improvement.

- **Continuous Improvement:** I should keep working on my leadership skill through education and professional development training. I believe that developing leadership competencies is an ongoing process and not a one-time event. It is a continuous program of improvement since leadership is a journey, not a destination.

I already wrote this in substance in a previous assignment when I mentioned that in my experience, among the few women that I saw, one impressed and continues to impress me to the point that she became my mentor. The experience with her completely shaped my view on what it takes to be a true leader. She convinced and showed me my own leadership potential. She has been my go to person since 2013. Her mane is Dr. Kornegay. I define her as a very smart, dedicated and charismatic woman. She used to be the director of our department. She is supportive of her employees’ continuous improvement through continuing education and training. She highly demonstrates responsible commitment to affirmative action and diversity. These positive qualities of Dr. Kornegay influenced and definitely shaped my experience as a first line supervisor at the University of Vermont. There are many other stories involving her like mine. I supported her nomination for the University President’s Our Common
Ground Staff Award because I sincerely believe that she embodies UVM’s core values and she won it. I can easily identify Dr. Kornegay as the person I turn to for support as I continue your leadership journey. She is more than a mentor. I consider her as a sponsor to some extent. She even wrote me a recommendation letter when I applies to join the MPA (Master of Public administration) program. Peter Blackmer is the other person I went to sometimes for support. He is an Administrative Professional Senior for our division. Since last year, he has been supporting labor relations for all departments in our division. I have not asked him officially to be my mentor, but I might soon ask him. He is very knowledgeable and flexible. The third person, I will be going to, is Kristin Winer that I had the pleasure to interview for my Leader Case Study assignment. After the interview, I asked her to be my mentor and she agreed. I am considering asking her to sponsor me as well. I also go to my wife and value all her support.

I have been already doing things to help others in my workplace advance their leadership goals. My major advice to my team members is to keep building skill through education and professional development trainings. I do not mind sharing my story and my experience with my team member. I also try to lead by example. I encourage them because education and training prepare and get us ready for the opportunity to come. I refer to education as a master key that can open up many doors to success. They say change is constant and to stay up to date, we need continuous education and training. I encourage them to attend training sessions that help develop self-awareness, emotional and social intelligence, teamwork and many other sessions.

I believe that developing a leadership voice help us find ways to appear more confident. Rather than living with imposter’s syndrome, we can build a truer confidence by more intentionally focusing on cultivating many different parts of our leadership voice each day. Ultimately, we should cultivate enough parts of our voice so that no matter the leadership situation or audience we find ourselves facing, we can respond in an authentic, constructive, and effective way. As an African immigrant, I have a perspective on diversity that brings value to my workplace due to my own experiences with racism, language barriers, and knowledge of strengths from differences. Besides, my pursuits toward my master’s degree in Public Administration and by attending many UVM sponsored professional development trainings come from my desire for excellence, both personally and professionally. These pursuits make me a valuable leader, enhance and enrich the institution. Grounded on that, I think that it would be beneficial for my organization that my leadership voice be heard. Therefore, I strongly believe that I deserve a place at the leadership table.
Reference:


Oprah Winfrey’s 10 rules for success, Retrieved from

https://www.youtube.com/watch?v=7a8ncSBU-Eg
Appendix Bb: The Appalachian Mountain Club case study

1.) The hiring of Andy Falender as the Executive Director of the Appalachian Mountain Club (AMC) appears to have helped the organization improve, following an extended period of stagnation and budgetary challenges. Explore how Falender’s approach demonstrated effective “distributed leadership” qualities and an ability to support organizational learning. Suggested references include, but not limited to: Bolden, Katz & Kahn, and Argyris & Schon. Draw on at least two references from class readings and/or power points. This response should be two paragraphs in length. (15 points)

Falender’s plan to lead the Appalachian Mountain Club (AMC) as an Executive Director required the Council to agree to centralize authority in the Executive Director and the Council. That would certainly allow the strategic apex of the AMC to set the tone and define an organizational culture, a mission and a vision that would lead the organization and help to implement a sense of unity of command with a realistic span of control. Referring to the frameworks of “distributed leadership” qualities as laid out by Bolden (2011) in table 2 on the PowerPoint slide on Integrated Leadership (Course material of Mach 28, 2019 about Leadership and Performance Management Systems), we see that several frameworks intervene in Falender’s approach. It has traits of formal distribution, where leadership is intentionally delegated or devoted by Falender (centralized authority). He also relies on strategic distribution by bringing in new people (the auditor for the financial committee, Steve Blackmer to be Conservation Director and Walter Graff to serve as the Education Director), with particular skills, knowledge and/or access to resources, to meet a particular need. Finally, we can also see in his approach the qualities of institutionalized practices, where enduring organizational structures such us the chapters, the committees and teams, are in place to facilitate collaboration between individuals. In the AMC’s case, the chapters and committees were already in place before Falender was hired, but they were very disconnected from the strategic apex, which Falender is addressing by clarifying and rationalizing staff reporting relationships and reducing the “representativeness” of Council members. In addition, the efforts of the
chairpersons of activities committees of the chapters, the central office communicates with the chapter membership about advocacy, education, and conservation activities.

Concerning the support for organizational learning, in his initial strategy, Falender envisioned the AMC to been seen by 1995 “as an educationally-oriented organization that uses all of its facilities and activities to help further its educational mission in outdoor protection, safety and wise use of scarce natural resources.” Under the direction of Walter Graff, the education programs had grown and diversified to address the interests of schools, families, and disadvantaged youth as well as the AMC's traditional adult market. Falender “described himself not as a dreamer who generated a new list of creative ideas each day. Instead, he saw his gift as being able to discover the strengths in others and then direct their concerted energy into a coherent and integrated plan that benefited the AMC as a whole.” This means that Falender values the group and as we learned, groups are “systems for learning” and “the diversity of experience of a group interacts and produces a synergy where the whole is more than the sum of its parts” (Carnevale, 2003, p.91). With the hiring of Walter Graff to serve as the Education Director, Falender demonstrates that he values professional development, which could help organizational learning.

2.) Using the McKinsey Capacity Grid categories and what you know of the AMC from this case, apply and assess AMC using two different categories of the Grid. Justify your assessment using evidence drawn from the case. Provide a link to at least one reading or power point reference for each assessment. Each assessment should be one paragraph long. (20 points)

I am assessing the mission and the overarching goals.
Mission

The AMC’s mission statement is, “The Appalachian Mountain Club promotes the protection, enjoyment, and wise use of the mountains, rivers, and trails of the Northeast. We believe that the mountains and rivers have an intrinsic worth and provide recreational opportunity, spiritual renewal, and ecological and economic health for the region. We encourage people to enjoy and appreciate the natural world, and we believe that successful conservation depends on this experience. AMC members love the mountains and rivers, and we form a network of users and stewards who protect these areas and educate others as to their use.” The mission is clearly stated, but not broadly held within the organization. The leadership team mostly holds it, but there is still some work to do to communicate the mission to the membership in the chapters. The chapters used to be disconnected with Joy Street. Falender and his team are still struggling to set the tone and establish good communication with the membership through the Chapters. Falender found a highly decentralized organization to the point that some chapters were completely disconnected from the Central Office. As a recommendation, I would like to share Huber’s idea retrieved from the course material PowerPoint about communication, with Falender. Huber said, “For a highly decentralized organization, use of computer-assisted communication and decision-support technologies leads to more centralization.” (Huber, 1990). The use of computer-assisted communication would have the advantage of establishing communication between the Central Office and the membership at an affordable cost and would promote networking.
Overarching goals

The AMC defined five overarching goals (protection of the mountains, access to special places, encourage stewardship, create conservation awareness and maintain financial stability), that the leadership is committed to working with membership to achieve. Despite Falender’s newsletter describing the projects and activities he was working on and the efforts of the new staff person to train and help with issues such as setting goals at the chapters level, significant challenges remained with implementation of the Vision 2000 policy statement. The unanswered questions were: “How can all facilities be used for conservation and education programs as well as for lodging? How can trail work be related to advocacy?” It was not clear how to communicate the Vision 2000 policies and objectives broadly to the entire membership. What I have noticed is that the AMC is designed in a way that information seems to flow only vertically. The decisions are made at the strategic apex level and sent to the bottom to be implemented. In other words, information only goes from top to bottom in the hierarchy, which sounds more like classic organizations, which have proven their limits. However, as we learned, Naff painted a picture of the classic organization where everything is based solely on hierarchy and “what matters is vertical relationships, not lateral ones” (Naff, 355 in Kearney & Coggburn). Consequently, we learned that something clearly was not working with this classical organization structure. This certainly explains the struggles that Falender was experiencing with the implementation of Vision 2000. It would have been beneficial for him to get the bottom of the hierarchy (the chapters, the committees and the membership) involved in the creation process of Vision 2000. That would have given the chapters, the committees and the membership the sense of ownership of Vision 2000, which
could have helped with the implementation and avoided resistance. Falender could have also relied on social learning the “DDAE cycle of Inquiry” (Goodlad et al. 2004). The acronym DDAE stands for Dialogue, Decision-making, Action, and Evaluation. It is another way to promote social learning by engaging the group.

3.) Using community of practice theory, explain the relationship between the central office of the AMC (referred to as “Joy Street” in the case) and the chapters. Outline the tension points and possible disconnects, and examine the approaches being undertaken by Falender and his leadership team to engage/reengage these chapters. Explore what is making this engagement effective or ineffective. Draw on at least two references from readings or power points from any point in the semester in your response. This response should be two paragraphs in length. (15 points)

It is important to recall that community of practice operate as “social learning systems” where practitioners connect to solve problems, share ideas, set standards, build tools, and develop relationships with peers and stakeholders [ (Snyder et al., 2003: 17) retrieved from course material about Organizational Learning PowerPoint]. Before taking the AMC over, Falender asked to be a strong Executive Director that will work with a strong Council’s support. When he came on board, he hired his former board treasurer to serve as Chair of the Finance Committee. He also hired Steve Blackmer to be the Conservation Programs Director. In addition, he hired Walter Graff as the Education Director. He hired them because he trusted their professionalism and expertise. He was convinced that with them, he was forming a winning leadership team. Besides that “expert leadership team”, there were the chapters, the committees existing prior to Falender’s hiring, and the membership that was still closer to the chapters and committees. With all the structural changes and the new mission, vision and set of goals, there has been a kind of organized opposition of the chapters, committees and membership to the new Central office. Consequently, it created tensions between the central office of AMC and the chapters at many levels mostly in the governance, the structural and financial areas. For instance, the creation of the communications division, the restructuring that clarified and rationalized staff reporting relationships, the revision of the bylaws and the shift toward greater advocacy activities were controversial. It makes me think that, there were at least two communities of practice at the AMC (the leadership team versus the chapters, committees and membership).
The engagement was effective because Falender and his team were really focused on the interest of the AMC and even the organized opposition did not disturb them or prevent them to pursue their goals. They completely ignored the organized opposition and stayed focused. To overcome the disconnection with the chapter, Falender put out a newsletter and created the Board’s regional representatives, which he used as the major channels of information about Vision 2000 to chapter leadership. It allowed him to create “face time” between the Central office (Council or Joy Street) and the chapters. To that effect, he dispatched one of his staff from the conservation program division to a local chapter meeting. Falender’s leadership truly responded to the description of community of practice in the sense that, they were a work group of individuals “who see themselves and are seen by others as a social entity and who are embedded in one or more larger social systems. They are interdependent (to some degree) in their tasks, and have to manage relationships with people external to the group who are affected by their tasks” [(Langfred and Shanley, 2001, 83) retrieved from PowerPoint Organizational Learning]. The leadership still needs to put in place a better communication system for an effective and a productive relationship between the central office and the chapters, which will better engage the membership.

4.) Fast forward this case into 2019. Considering the range of information technologies now available, and provide a vision for how the AMC can utilize new communications channels to engage their members. Draw on at least two readings or power point references in this two-paragraph response. (15 points)

Nowadays, most of the successful organizations embrace social media and even allowing their employees to represent their brand, resolve issues and create online content (Berg, 2013). If used properly, social media can help the AMC eliminate regional communication barriers by helping eliminating silos among departments and geographically dispersed teams. Social media can also help lead with clear communication by continually reinforcing the organization’s mission, vision, values and strategies to rally employees around a common cause. The AMC could use social media to make information mobile at a reduced cost. In addition, it would be beneficial for the AMC to use social media as a tool to unlock institutional knowledge and expertise through internal blogs, forums and social networks. It would allow employees to share questions, answers, and valuable information in open forums rather than the confines of email, where only a few people benefit from shared information. It
would be a valuable platform for the promotion of Vision 2000. Moreover, social media would be an interesting tool that the AMC could use to strengthen its organizational culture and employee camaraderie. It is proven that frequent and timely communication helps employees stay plugged into the realities of the organization. The opportunity to connect employees with similar talents and interests can also build stronger working relationships (Berg, 2013).

From the course material of March 21, 2019 on Communication and Uses of Communication Technology, on the PowerPoint slide entitled Recruiters and Search Committees are using Social Media!, we can read that “Wu 2012: 91% of hiring professionals use social media to screen prospective employees”. Along with that, “69% disclosed that they did not hire an applicant due to content on social media (Tufts and Jacobson, 2016, p.343). With the membership quickly growing at the AMC and the challenge facing the implementation of Vision 2000, it would benefit the AMC to envision the usage of IT to enhance membership involvement. The best way to do so would be to rely on the use of computers. As Chris Argyris put it, “the more management deals with complexity by the use of computers and quantitative approaches, the more it will be forced to work with inputs of many different people, and the more important will be the group dynamics of decision-making meeting” (from the course material PowerPoint on Communication). This might help conquer the members entertaining the organized opposition leading to constant tension between the membership and the central office.

5.) In class, we have explored the evolving nature of information technology and its impact on work and organizations. We have also explored the nature of “emotional intelligence” (EI) and its importance for work and organizations. Explore how these two trends are relatable. How does information technology enable greater EI? Or in contrast, how does information technology thwart EI? Stake out a position and justify it using at least two readings or power point references. (15 points)

Information technology refers to the use of systems such as computers and telecommunications for storing, retrieving and sending information whereas emotional intelligence refers to the capacity to identify and regulate emotions in oneself and others. Emotional intelligence is a soft skill whereas information technology is a hard skill. Emotional intelligence used to appear as unimportant to information technology professionals because of the technical nature of their work, but it was only a stereotype. Although we cannot deny that information technology is technical, it is important to underline
that IT professional are not isolated and do not work alone. They deal with their customers, the users of the services they provide. Consequently, EI is useful for them and having a good level of emotional intelligence would be beneficial for what they do. In other words, IT professional need soft skills such as emotional intelligence to facilitate interaction with their colleagues, supervisors and customers. I share the thought that “the stereotypical computer nerd glued to his computer in the darkest corner of the office needs to adapt as the IT field grows more people focused than ever before” (Elis, 2013).

The previous argumentation makes us think about the alienation and the dehumanization arguments as defined by David Garson. He wrote that the alienation argument focused on the separation of an individual from his work whereas the dehumanization argument focuses on the separation of one individual from another (Garson, 2001). Either the dehumanization argument or the alienation argument would prosper only if we conceive information technology usage without exercising any emotional intelligence. Information technology is a tool at our disposal that, if used properly should contribute to make us more productive and efficient instead of alienating or dehumanizing us. Fortunately, the tendency nowadays is toward a theory Y approach (more people-centered) to IT integration—use of “structured open teams” for IT planning (Garson, 2001, p. 313).

6.) Summarize five big “takeaways” that you have learned from the second half of the semester (from March 7 on). Provide at least one reference (from a reading or power point presentation) for each observation. Each observation can be summarize in a bulleted, two to three sentence form. (20 points)

- From the course materials of March 28, 2019 (integrative Leadership PowerPoint slides), I was introduced to the concept of community of practice as groups of people who share a concern, a set of problem or a passion for something they do and that deepen their knowledge and expertise in the area in question. Most importantly, communities of practice operate as social learning systems where practitioners connect to solve problems, share ideas, set standards, build tools, and develop relationships with peers and stakeholders (Snyder et al., 2003: 17).
• When studying organizational dysfunction and change, we learned that interests are framed by “caring” and “knowing”. This fact makes us distinguish many types of people. There are those who don’t know and don’t care, those who know and don’t care, those who care and don’t know and finally those who know and care. It is based on that reality that Charlotte Bunch asserted, “people learn because they care about something.” (PA 302 org.Change. PowerPoint retrieved from course materials of April 11, 2019). Therefore, organizational change depend on how well people in the organization are informed and how much they care. To that effect, Carnevale said, “organizations cannot change unless individuals change” (Carnevale, 2003, P.39).

• I have been impressed by the concept of crowdsourcing. As we learned, “Simply defined, crowdsourcing represents the act of a company or institution taking a function once performed by employees and outsourcing it to an undefined (and generally large) network of people in the form of an open call” (Brabham, 2008, p. 76). Crowd sourcing is used a model for problem solving and it has many benefits such as the ability to take advantage of the wisdom of the crowd, the stimulation of innovation and creativity and the customer connection with the design and production process.

• We learned that business and organizations are increasingly taking their development functions very seriously in a world characterized by high competition, resource scarcity and a chaotic management training community. Although management training appears to be the solution, it is crucial for business and government organizations to purchase the proper training based on the goals they are pursuing (integration of individual and organizational goals).…. To that effect, Olshfski and Cutchin assert, “The appropriateness of each of the categories of management development is dependent upon the goals of the participants and/or the organization that sponsors them. If the goals are clear and the expectations of the participants are aligned with those goals, then there is a better chance that the management program will be effective.” (Olshfski and Cutchin, 2001. P448)

• One of my major “takeaways” from the second half of the semester has been the seven key leadership tasks, which are monitor and assess work, operation planning, clarifying roles and objectives, informing, delegating, problem solving and finally managing technical innovation and creativity. I used these key leadership tasks as a framework to design a questionnaire for focus group discussions for my internship project. Since we agree that leaders are not born, but made, it is difficult to aspire to be great leaders without an understanding of what leaders do. To emphasize this, Van Wart’s
article, *Dynamics of Leadership in Public Service*, states, “The study of leadership is woefully incomplete without an examination of the discrete types of actions that leaders practice” (Van Wart, 2005, P.157).
Appendix Cc: Interview with the Director UVM Custodial Services

PA302 Leader Interview
Due: 3/21/2019

On March 5, 2019, I had the opportunity to interview Gerald Coleman, the Director of the University of Vermont Custodial Services Department. When talking about his role in the organization, Mr. Coleman introduced himself as someone who is working on developing a vision and a strategy and implementing procedures that are already in place.

For Mr. Coleman, effective communication, collaboration and openness to change and new ideas make for effective leadership. For him the life of the organization is made of vicissitudes and constant problem solving to overcome challenges. In addition, he explained that effective communication and collaboration play an important role for the organization.

The UVM Custodial Services mission is to provide the university with a clean and healthy environment in which to live, learn, and work. Mr. Coleman said that the organization’s mission and purpose are used to guide and align practices. He went on adding that it noticeable in staff members’ efforts every day.

To the question of setting and pursuing performance goals, Mr. Coleman replied that the department has performance goals, but is working on setting an even greater new goal. The ultimate goal is to provide the best facility services. To reach the performance goals, department relies on training and professional development promoted at all levels within the department. He revealed that performance is trucked through the weekly inspections of the buildings using Smart Inspect software and through customer surveys and feedback. The department also has core audits run by third party inspectors who audit the campus facilities cleanliness. The internal and external inspections of the buildings help point out deficiencies and allow auditors to suggest a recovery plan based on the deficiencies noticed.

When asked if the organization engages in strategic planning, Mr. Coleman confirmed that the UVM Custodial Services Department engages in it on an annual basis and he finds the plans very effective. He said that the previous plan, for instance, focused on mechanizing the equipment to increase professionalism and productivity. Mr. Coleman intends to keep focusing on professionalization and improving the department image in the coming strategic plan. For instance, he is suggesting a dress code at least for the leadership team. The new plan will be also focusing on the rebranding to take into account the scope of work that the organization performs, which is not only cleaning, but also things like pest
control, recycling, snow removal, composting and others. Mr. Coleman is convinced that the university community is generally no well informed about what the custodial department’s scope of work is.

Concerning the organization’s human resource management capacities, the Director responded that the UVM Department of Custodial Services has within its senior leadership team an Administrative Professional Human Resource Business Manager and an Administrative Coordinator for Training and Professional development. Additionally, the department receives HR services from the Managers for Residential Life and Academic for hiring and grievances processes. Mostly important, the Administrative Professional Human Resource Business Manager works collaboratively with the University Human Resources Services when it comes to instances in labor relations, payroll processes and benefits.

Mr. Coleman presented his department as an organization of great outreach with partners and external constituencies. He mentioned that beyond the university’s community, the department has a large outreach the department has 240 staff members from more than 20 different countries around the world. For most of the employees, English is not their first language. To overcome the language barrier, before the employees started receiving English classes through the university’s Global Gate program, the department was in partnership with Vermont Adult Learning for ESOL classes. The department also is in partnership with the Association of African Living in Vermont, which provides the department with interpreters when needed (for new employees’ orientation, and some departmental functions). The department is also in partnership with United Ways and Working Bridge, which provide the employees with useful resources.

Beyond the traditional means of communication such as emails, phone calls and messaging, radios, the Director has initiated “Town Hall Meetings” where he meets with supervisory zones one by one on regular basis to hear directly from frontline staff. He also has a “Town Hall Meeting” with frontline supervisors to discuss with them without the managers around. The department has also “All Hands Meeting” where the director invites all department staff members to share information about the organization. A few months ago, the director started introducing E-screen - a communication platform and he intends to pursue this new initiative.

Mr. Coleman reassured that he is supportive of staff professional development and department offers in-service once a year to all frontline staff. It is an all-day training on mostly safety, quality, and customer service. Frontline supervisors receive many soft and hard skill trainings through their memberships in organizations such as International Executive Housekeepers Association who just merged with ISSA for more professional development opportunities, NNECEARAPPA, which stands
for Northern New England Chapter of the Eastern Region of APPA (the Association of Physical Plant Administrators). Today APPA is an association of leaders in educational facilities. The chapter provides high quality educational and networking opportunities at its annual chapter conferences. The department pays for staff’s membership fees and the fees to attend training sessions and an annual conference. Mr. Coleman reminded me that the 2019 NNECERAPPA Annual Conference would be happening soon and that the University of Vermont would be hosting the event. He added that over 200 educational institution facilities professionals from around Northern New England were expected to attend. He said he thought it would be a great opportunity for learning and networking. Opportunities to participate in conferences such as this when they are out of state are typically limited to the leadership team including frontline supervisors but not frontline custodial workers.

When questioned about some of the major challenges affecting the success of the department of UVM Custodial Services, Mr. Coleman shared that the department has been experiencing budget cuts for years, which lead to the loss of 15 staff member positions. Meanwhile, customers’ expectations continue to grow high and the space serviced is increasing. Mr. Coleman believes that UVM Custodial Services appears to be an easy target when it comes to budget cuts, because “it is a low hanging fruit and the easy thing to do” by the university. The employees are not required to have high qualifications to be hired. For Mr. Coleman, the other major challenge that the department faces on daily basis is making changes within the union environment because the many initiatives need to be in accordance with the union contact before any possible implementation.
Appendix Dd: Emails exchanges and photograph

Presentation to the UVM Community of my life story during Staff Appreciation Week

From: Issouf Ouattara <iouattar@uvm.edu>
Sent: Wednesday, February 6, 2013 3:19 AM
To: Barbara Benton
Subject: Re: Issouf's presentation to Student Financial Services

On 2/5/2013 4:27 PM, Barbara Benton wrote:
> The following Meeting has been added.
> > Proposed by: Barbara Benton
> > Access level: Normal
> > Importance level: Normal
> > Subject: Issouf's presentation to Student Financial Services
> > Date: Wednesday 13 February 2013
> > Time: 07:30 to 09:30 (EST5EDT)
> > Location: Waterman 427A
> > 
> > Message text:
> > Hi Issouf, I put this on your calendar. We can meet in Waterman 427A at 7:30. Let's talk tomorrow at class.
> > > Barbara
> > >
> > No Problem, Barbara. I’ll see you soon. Thanks.
> 
> Issouf

--
Issouf Ouattara
Custodial Services Supervisor
University of Vermont
109 South Prospect Street Annex
Burlington, VT 05405
iouattar@uvm.edu
www.uvm.edu/custodial
802 656 4214 (office)
On 2/12/2013 9:24 PM, Barbara Benton wrote:

Hi Issouf,

I went to Waterman 427A today with a person from Media Resources. They help people with all media needs across campus. It should be very easy to set up in that room.

My only problem is that I have an old powerpoint on my Dell laptop that I have to use. My Mac laptop doesn't have the right cable to attach it. And I can't figure out how to get the new powerpoint that is on my Mac onto the Dell laptop. So can you bring your data stick again? The one that lost the cover? :-(

I will meet you at 7:30 or a little earlier in Waterman 427A.

Barbara

Barbara J. Benton
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UVM Custodial Services Department
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Burlington, VT 05405
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Cell: (802) 338-2172
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E-Mail: barbara.benton@uvm.edu
http://www.uvm.edu/custodial/
Photograph taken after the presentation in September 2012 (me receiving handshakes from the people in the audience).
Appendix Ee: Organizational Assessment Compilation

PA 302 Organizational Capacity Assessment Project
The University of Vermont Custodial Services Department

Organizational biography

Name of the organization: The University of Vermont Custodial Services Department (CSD)

Sector of the organization: Nonprofit

Organizational mission:

The organization’s mission statement is “we provide the university with a clean, safe, and healthy environment in which to live, learn, and work.”(University of Vermont Custodial Services Department web page)

What does the organization do? produce? direct? provide? serve? organize?

The organization provides housekeeping and support services for about 142 buildings throughout the campus, which amounts to “approximately 3.5 million net cleanable sq. feet.” (UVM Custodial Services Department web page). The Custodial Services Department is responsible for the general cleaning of most of the buildings on the campus. Their team is divided into two major work groups composed of Academic/Administrative/Athletics and Residential Life/Davis Center.

On a daily basis, custodial staff are responsible for

- “General cleaning on a daily basis of public areas to include: patios, entryways, hallways, restrooms, lounges, event spaces, classrooms, dining areas, elevators, and stairwells
- Opening classrooms by 8am Monday to Friday
- Weekly cleaning of office spaces
- Weekly cleaning for research lab spaces
- Periodic heavy floor care and window cleaning
- Reporting building and equipment repairs, as noticed while performing our other duties
- Snow removal at building entrances and exits
- Pest and animal control” (UVM Custodial Services Department web page)
- Trash and recycle removal including composting

They also provide special services such as cleaning service outside their standard frequencies, construction project cleaning, cleaning of refrigerators, stoves, staff / faculty kitchen areas and special laboratories, room set-ups for functions or events on campus through the university’s events management system, upon request (UVM Custodial Services Department web page).

Besides, UVM custodial department services is promoting green initiatives in order to preserve the environment. Concretely, they have “100% recycle paper usage, plastic usage with some level of recycle content (preferable higher when the technology improves), Green Seal products whenever possible, with
ozone water as our primary cleaner, migration to chemical free floor stripping, use of sealed batteries, use of cold water chemicals” (UVM Custodial Services Department web page).

Date founded, including a brief overview of its early history:

I have not found any written documentation on this topic yet. However, I had a conversation with Paul Campo, the department’s quality control manager. He told me that the current Custodial Services Department was created in October 2007 with Leslye Kornegay as the first director. Before then, Custodial Services was part of Physical Plant under the direction of Sal Chiarelli.

Annual Budget

- Total Expenditures: 5,504,804
- Staff salaries: 358,832
- Staff hourly wages: 2,972,873
- Other Wages/Compens: 2,040
- Benefits: 1,473,516
- Library Acquisition: 697,543

These numbers are only for Academic units financed by the General fund. Therefore, they do not include Residential and Davis Center. Only upper management are salaried, front line staff are paid hourly. As of the Library acquisitions, they are listed in the same category as operating equipment.

(Source: University of Vermont, FY 2018 Detailed Budget, July 1, 2017 to June 30, 2018)

Source of Revenue

UVM Custodial services Department is funded by the university’s General fund composed of tuition, state appropriation and other general income in support of academic, administrative and support department operations.

Approximate number of employees

UVM Custodial Services Department roughly employs 173 Field Staff, 15 Supervisors, 3 Senior Supervisors, 2 Maintenance Staff, 2 Managers, 6 Administrative Staff and a Director (UVM Custodial Services Department web page). The basic organizational structure can be seen in the following figure.
Basic organizational structure
Capacity Assessment Grid Analysis (selection of 15 categories of the McKinsey Capacity Assessment Grid)

<table>
<thead>
<tr>
<th>ASPIRATIONS</th>
<th>1 Clear need for increased capacity</th>
<th>2 Basic level of capacity in place</th>
<th>3 Moderate level of capacity in place</th>
<th>4 High level of capacity in place</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mission</td>
<td>No written mission or limited expression of the organization’s reason for existence, lacks clarity or specificity, either held by very few in organization or rarely referred to</td>
<td>Some expression of organization’s reason for existence that reflects its values and purpose, but may lack clarity; held by only a few; lacks broad agreement or rarely referred to</td>
<td>Clear expression of organization’s reason for existence which reflects its values and purpose; held by many within organization and often referred to</td>
<td>Clear expression of organization’s reason for existence which describes an enduring reality that reflects its values and purpose; broadly held within organization and frequently referred to</td>
</tr>
</tbody>
</table>

Custodial Services Mission:

“We provide the university with a clean, safe, and healthy environment in which to live, learn, and work.” (University of Vermont Custodial Services Department web page)

Concretely, to serve this mission, Custodial Services’ operational team is divided into four major work groups: Academic & Administrative, Residential Life, Davis Center, and Athletics. The staff members working in these work groups are responsible for daily cleaning to ensure the health and safety of campus’ facilities. On a daily basis, the areas the custodial staff members cover include restrooms, fitness areas, patios, entryways, kitchens, hallways, lounges, event spaces, labs, classrooms, dining areas, elevators, and stairwells. On a weekly basis, they clean office spaces and departmental conference areas. In addition, they provide periodic heavy floor care and window cleaning. The staff members are also responsible for reporting building and equipment repairs that are noticed while performing their other duties. During winter, custodial Services staff are responsible for snow removal at building entrances, handicap ramps, fire escapes, emergency exits, sidewalks and others. In addition, Custodial Services is in charge of pest and animal control as well as trash and recycling in many areas across campus. (Custodial Services, Administrative Unit Review, 2017)

The mission statement is posted in the department common areas such as offices, the conference room, staff break rooms and the main office lobby. The mission statement is also referred to whenever needed, mostly during staff meeting and other gatherings. During our interview with the Department’s Director, he said that part of his role is to ensure that the organization’s mission and purpose are used to guide and align practices.

Sources: Interview of the Director Gerald Coleman, the Administrative Unit Review, Self-study conducted and revised on January 9, 2017, The UVM Custodial department web page
**Custodial Services Vision:**

The UVM Custodial Services is committed to lead its industry in customer satisfaction, professionalism, quality, sustainability, safety, and employee development without losing sight of its fiscal responsibility. The department is engaged to service its customers with the "I Care" spirit: Integrity, Commitment, Accountability, Respect, and Excellence. Guided by its commitment to diversity, social justice, and its Common Ground, it will value and embrace individual differences. Its empowered staff, continuous improvement, green initiatives, and environmental sustainability will be the measure of its success (Custodial Services, Administrative Unit Review, 2017). When I started exchanging with the Director, Mr. Coleman, he introduced himself as someone who is working on developing a vision and strategy and implement procedures that are already in place. He once said that he is not the type to come and reinvent the wheel. That is to say, to some extent, that "if it not broken, don’t fix it”.

**Sources:** Interview of the Director Gerald Coleman, The Administrative Unit Review, Self-study conducted and revised on January 9, 2017.
Overarching goals

This score can be justified based on Customer Perception of Custodial Services in a Changing Fiscal Climate. Custodial services’ customers are mostly students, faculty, staff and others. The self-study conducted as part of the Administrative Unit Review in 2017, revealed that whether the customer operates within the General Fund Incentive Based Budget (IBB) model or the traditional Income and Expense Activities model, expectations for services have always been and will continue to be driven by available resources. Although the department takes great pride in its diversity; however, it has created communication challenges, as English is not the first language for the majority of our staff. There is an opportunity to improve the marketing of the service level to the university community beyond the Custodial Services website, by meeting with the customers and interacting with them. Additionally, greater contact with major customers by senior staff and the director could improve communications and transparency resulting in higher customers’ satisfaction. It is difficult to ignore that there are threats at the horizon, because some constituents have the impression that savings could be realized and service levels increased via outsourcing. That is why the Director referred to his department as “a low hanging fruit”. “To the question of setting and pursuing performance goals, Mr. Coleman replied that the department has performance goals, but is working on setting an even greater new goal. The ultimate goal is to provide the best facility services. To reach the performance goals, the department relies on training and professional development promoted at all levels within the department. He revealed that performance is tracked through the weekly inspections of the buildings using Smart Inspect software and through customer surveys and feedback.”(Interview write up).

Source:

Interview of the Director Gerald Coleman, The Administrative Unit Review, Self-study conducted and revised on January 9, 2017.
Overall strategy

UVM Custodial Services is committed to providing the best possible service with the resources that are available. The senior leadership realize that future budget reductions seem inevitable. Therefore, the department strategically plans to continue to identify methods to provide excellent service at a reduced per unit cost. The overall strategy consist of adjusting service levels in non-mission critical areas. Since 2007 and in the years in which the University has faced difficult financial challenges, outsourcing of the department’s work has been considered. The University leadership has posed the question if cleaning should be outsourced to a private vendor. In 2008, the University concluded that cleaning could be done in-house more cost effectively than by various external vendors. In 2012, with the assistance of an external consultant, UVM again concluded that cleaning should be done in-house by UVM staff and managed by UVM leadership. To overcome the challenge of outsourcing, Custodial Services has utilized third-party vendors where feasible instead of hiring additional staff. Some example are window washing, pest control, and some language translation services. In the same vain, the university utilized Core Management to analyze facilities needs and determine appropriate labor requirements. (Administrative Unit Review, Self-study).

I submitted a selection (the same selection for the class assignment) of the 15 categories of the MC Kinsey Capacity Assessment Grid to five members of the UVM Custodial Services’ senior leadership team for them to assess UVM Custodial. They independently took the survey without disclosing their identities and they all checked “2” for the “Goals/performance targets” category. I also relied on the inspections results to come with the same score.

The department in partnership with Core management runs inspections in the buildings using the Smart Inspection Software, which helps point out deficiencies or areas that need more work. After the audits, a recovery plan is written for the custodians in charge of the area to address the issues detected. In addition, the department conducts customer service surveys throughout the academic year. The data collected help in making decisions to meet the customers’ expectations. The norm for the department with core audits is 90% and any score under that threshold is concerning and need a special attention immediately.

**Sources:** Survey took by UVM senior leadership team (the fifteen selected categories of Mc Kinsey capacity assessment Grid), UVM Custodial Services Customer Service Survey of 2018.
Program relevance and integration

To come up with this score, I considered the department’s Vendor Managed Inventory (VMI) for equipment and supplies and I selected the core management program for mostly cleaning practices and scheduling (CSD 2017 self-study).

Until 2018, the VMI contractor provided inventory control and supply ordering, which means that the vendor was determining the products that the department need to operate. Since the vendor was in charge of the inventories and the supplier at the same time, which caused a problem. The department found its VMI closets overstocked with products that were not used, while the employees were lacking products that they needed to perform their job. This ended up being too expensive and not efficient for the department. Thanks to the town meetings, leadership meetings, supervisory meetings and others, the frontline supervisors started raising concerns about the service provided by the supplier. Since January 2019, frontline supervisors do their inventories themselves and place supplies orders for themselves.

Concerning with core management program, the weekly audits make the frontline supervisors wonder about the effectiveness and accuracy of the data by the time they submit the recovery plans to the custodians to address the issues they pointed out during their inspections. They also noticed that handing out recovery plans to the employees is negatively affecting the moral.

**Sources:** Leadership meetings, Supervisory Meetings, Town meetings with the Director
New program

The department in partnership with Vermont Adult Learning (VAL) used to sponsor an ESL (English as Second Language) program to support training and development for diverse CSD staff. About three years ago, due to financial challenges, the department ended its contract with VAL and started a new partnership with UVM Global Gate program for English classes for frontline staff. This program helps the department to comply with OSHA regulations, which by the new Globally Harmonized System, gives workers the “right to understand.” The ESOL program also gives employees basic language skills that are necessary for their personal growth and professional development. There is still some effort to be done to encourage and convince some frontline staff to attend the classes. In addition, due to the language barrier, CSD regularly sponsors on-site interpreters to facilitate supervisor led “Train-the- Trainer” program as well as translation support for documents and postings regarding job procedures and safety. To increase the service level of the translators, the department just launched a pilot program to utilize a telephonic interpreting service offered by the vendor Language Line Solutions. This over-the-phone interpreting service could supplement and possibly replace many instances in which UVM Custodial and UVM HR have typically relied on local organizations (i.e. Association for African Living in Vermont and US Committee for Refugees and Immigrants). These were used to schedule in-person interpreters to facilitate meetings with Limited English Proficiency staff on topics like safety training, compliance, and labor relations. In the past, the in-person interpreting has worked fine for the department of Custodial services. However, but telephonic interpreting gives the department an opportunity to maintain or lower cost, to lessen the administrative burden of interpreter scheduling. It also provides access to a greater range of languages; improve quality/reliability while enabling 24/7, on-demand interpreting for on-the-job interaction between UVM management and our LEP staff, which will benefit the third shift.

This helps the department to promote an inclusive and transparent departmental culture that values dialogue and feedback from all staff members.

Sources: 2017 self-study for Administrative Unit Review
### Performance management

The department has performance measurement tools in place such as Core audits or inspections, customer surveys, and staff performance reviews. After inspections and surveys, the data collected are analyzed, and recovery plans are designed to address the deficiencies. The frontline supervisors inspect the cleanliness of the buildings once a week. In addition, an external auditor runs twice a year audits. Despite this, some issues arise on the gap between the state of the inspected space and the content of the recovery plan, which is inaccurate most of the time. For instance, a cobweb, a buildup or soil seen on a piece of furniture during the inspection may no longer be there by the time the recovery plan is ready to address the issue. The goal is to improve the cleanliness of the facilities and improve the performance indicators, but the department is still struggling to find a better way to achieve that goal efficiently.

**Source:** Interview with the Director, Personal experience
Strategic planning

During the interview with the Director, when asked if the organization engages in strategic planning, Mr. Coleman confirmed that the UVM Custodial Services Department engages in it on an annual basis and he finds the plans very effective. He said that the previous plan, for instance, focused on mechanizing the equipment to increase professionalism and productivity. Mr. Coleman intends to keep focusing on professionalization and improving the department image in the coming strategic plan. For example, he is suggesting a dress code at least for the leadership team. The new plan will be also focusing on the rebranding to take into account the scope of work that the organization performs, which is not only cleaning, but also things like pest control, recycling, snow removal, composting and others. Mr. Coleman is convinced that the university community is generally not well informed about what the custodial department’s scope of work is.

Sources: Interview with the Director, Personal experience
### Operation Planning

The operation planning is determined by area type, task and frequencies. For instance, custodial staff are responsible for general cleaning on a daily basis of public areas to include patios, entryways, hallways, restrooms, lounges, event spaces, classrooms, dining areas, elevators, and stairwells. Offices and conference rooms are serviced on a weekly basis. Snow removal at building entrances and exits is done as needed. Custodial staff are also responsible for reporting building and equipment repairs, as noticed while performing our other duties. The department also covers events on campus in collaboration with The University Events Services. The department is present on campus 24/7 with three shifts taking turns and the on-call system in place. CSD staff cover some spaces such as Tech Park and the Morgan Horse Farm on demand.

Based on my own experience, observations and most importantly the external consultant report, staff seem overwhelmed with covering buildings. The staff members in some zones struggle to service all classrooms before classes start in the morning (usually by 8AM). In Addition, operational planning is very challenged on daily basis by absenteeism. The department “faces challenges with absenteeism due to normal use of UVM benefits. However, continued budget reductions mean that there is less available staff to handle the workload of absent employees. Unlike other industries and job categories in which individual employee workload can be deferred, CSD must complete essential services such as disinfection, weather related maintenance, and classroom cleaning on a daily basis.” (2017 Self-study)

**Sources:** UVM CSD web page, External Review Report, 2017 Administrative Unit Review Self-study

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<tr>
<th>III. ORGANIZATIONAL SKILLS</th>
<th>1 Clear need for increased capacity</th>
<th>2 Basic level of capacity in place</th>
<th>3 Moderate level of capacity in place</th>
<th>4 High level of capacity in place</th>
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<tbody>
<tr>
<td>Operational planning</td>
<td>Organization runs operations purely on day-to-day basis with no short- or longer-term planning activities; no experience in operational planning</td>
<td>Some ability and tendency to develop high-level operational plan either internally or via external assistance; operational plan loosely or not linked to strategic planning activities and used roughly to guide operations</td>
<td>Ability and tendency to develop and refine concrete, realistic operational plan; some internal expertise in operational planning or access to relevant external assistance; operational planning carried out on a near regular basis; operational plan linked to strategic planning activities and used to guide operations</td>
<td>Organization develops and refines concrete, realistic, and detailed operational plan; has critical mass of internal expertise in operational planning, or efficiently uses external, sustainable, highly qualified resources; operational planning exercise carried out regularly; operational plan tightly linked to strategic planning activities and systematically used to direct operations</td>
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Human resources planning

From the department web page, it said that CSD staff provide housekeeping and support services for approximately 3.5 million net cleanable sq. feet in 142 buildings throughout the campus. According to Core, the number of custodians in charge of a facility depend the square footage. The Department uses the ratio of Full Time employee (FTE) per sq. feet as a base for human resources planning. As employees are retiring, a process is put in place to replace them. Whenever a new facility is built on campus, a certain number of custodians are hired accordingly to cover the facility in question. For instance, the Department is currently in the process of hiring for the new building called Innovation, which is supposed to be open to the public in May 2019.

However, the Director said during our interview that with the budget cuts of the recent years, the department lost about 12 positions without getting the possibility to rehire. He said to that effect that the department has been asked to do more with less. That is what is making him think strategically, such as promoting efficient equipment use for cleaning. Mr. Coleman assured that CSD is committed to providing the best possible service with the resources that are available. The department realizes that future budget reductions are inevitable and will continue to identify new methods to provide excellent service at a reduced per unit cost.

Sources:

Department web page, Interview with Mr. Coleman, the Director of the Department.
Public relations and marketing

There seems to be a disconnection between the department and its customers. When I surveyed the senior leadership members asking to rate the 15 categories of the Mc Kinsey Grid, they all without consulting each other assigned “2” to “public relations and marketing” as I did. According to the 2018 Customer Survey, some customers shared that they never met a representative of the department and would like to address issues in person, but they had to rely on the website to address their concerns. It shows there is room for improvement when it comes to public relations and marketing. This seems to be an important point in the department strategic plan, as the Director out pointed during our interview. This follows the same idea as working on the image, the rebranding and the quest for more professionalism.

In 2017, UVM brought in consultants that work in the facilities management in higher education from around New England to assess the operation of UVM Custodial Services. The consultants produced a review report after interviewing customers, departmental management, and departmental staff. They reported, “The customers feel very strongly that the lack of training, communication problems caused by the variety of languages spoken within this department, and the overall communication is really poor.” (Administrative Consultant Review Report). In this report, according to the customers, the department is not always helping them understand what services are being completed, which creates an area of concern in a budget system that bills its University customers. This seems to be the evidence of the disconnection between CSD and its customers.

**Sources:**

2018 Customer Service survey, Interview with Mr. Coleman, Administrative Consultant Review Report
The University of Vermont Custodial Services is the largest individual department of the university (about 240 employees). The best practice of the department prioritizes health, safety and customer satisfaction in accordance with their mission, which is “Provide the university with a clean and safe environment in which to live, learn, and work”. To carry out such a noble mission, the department is well aware that the focus needs to be on the people composing the labor force, those who perform the work and strive to meet the customers’ expectations. Because the department is aware that its success depends on the level of involvement and performance of the employees, the department through it leadership shows that they care.

The department in partnership with Working Bridges/United Way brought a resource coordinator on site to help employees manage their resource needs without having to leave work. The contract with Working Bridges is a collaborative way that aims at improving the department productivity, retention, advancement and financial stability for custodians. This strategy addresses the lack of resources and creates a workplace that is a “win-win” for the people and for the department. This helps build trust.

The Department also offers career advancement opportunities allowing and encouraging internal promotions. The front line staff are ranked by level mainly according to the level of responsibility. They are custodial Level 1 (entry level), Level 2 (intermediary level) and Level 3 (the team leads). At the supervisory level, there are Maintenance Unit supervisors and senior supervisors and above the senior supervisors, there are the managers. The employees are promoted based on seniority, but mainly based on their merit. The leadership team values mentorship and coaching as part of the organizational culture. Based on my experience and observations, I can testify that there are a number of employees who moved up the ranks. For example, there are employees who started in the department as temporary employees or Level 1 employees and gradually moved to Level 1, Level 2, Level 3, supervisors and even managers.

The Director Gerald Coleman is supportive of professional development and training. He allows supervisors and senior leadership to be active members of professional organizations such as the International Executive Housekeeper Association (IEHA) who just merged with the Industrial Sanitation Supply Association (ISSA) for more professional development opportunities. The supervisors and the senior leadership are members of NNECEARAPPA, which stands for Northern New England Chapter of the Eastern Region of APPA (the Association of Physical Plant Administrators). APPA has become an association of leaders in educational facilities. The chapter provides high quality educational and networking opportunities at its annual chapter conferences. The department pays for staff’s membership fees and the fees to attend training sessions and an annual conference.
Since English is not the first language for the majority of the employees, the department in partnership with the Global Gate program of UVM, offers English classes to frontline staff. Moreover, the department is flexible and encourages employees to enroll in degree programs at UVM. There are employees in degree programs and some heading towards graduation.

Sources: Interview with Director of the Department of UVM Custodial Services, Personal observation, Personal experience

<table>
<thead>
<tr>
<th>VI. ORGANIZATIONAL STRUCTURE</th>
<th>1 Clear need for increased capacity</th>
<th>2 Basic level of capacity in place</th>
<th>3 Moderate level of capacity in place</th>
<th>4 High level of capacity in place</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individual job design</td>
<td>Lack of positions created to address a number of key roles (e.g. CFO, IIR, learning and measurement); unclear roles and responsibilities with many overlaps; job descriptions do not exist</td>
<td>Positions exist for most key roles, with a few still missing; most key positions are well-defined and have job descriptions; some unclear accountabilities or overlap in roles and responsibilities; job descriptions tend to be static</td>
<td>All key roles have associated positions; most individuals have well defined roles with clear activities and reporting relationships and minimal overlaps; job descriptions are continuously being redefined to allow for organizational development and individuals’ growth within their jobs</td>
<td>All roles have associated dedicated positions; all individuals have clearly defined core roles which must be achieved and an area of discretion where they can show initiative and try to make a difference, core roles are defined in terms of end-products and services rather than activities; individuals have the ability to define their own activities and are empowered to continuously reexamine their jobs</td>
</tr>
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**Individual job design**

Based on my observations and own experience, there are organizational concerns about job descriptions. What is each staff member doing based on her or his position description? It does not always seem clear. According to the external consultant review report, job descriptions need to be evaluated to clearly define the role of the supervisors and senior supervisors to who administrative tasks are being added to the workload (supply inventory and ordering, processing service requests and work orders and FAMIS work). The external review report pointed out that “one supervisor travels through 30 buildings. Sometimes he walks.”(2017 external review report). This seems overwhelming and hardly efficient. The report revealed that many administrative tasks are passed from management to supervisors because management sees that as a way to help frontline supervisors develop their ability to advance. The reality is that there is no clear path for supervisors who want to move into a management position.

Sources: External review report, Observation, Personal experience
Performance as shared value

There seems to be a mismatch between what the audits show in number and the perception of the customers about their buildings cleanliness. As I mentioned earlier, the UVM CSD has a system in place with the annual customer surveys, the Core audits with Smart Inspection, which serve as tools for performance measurement. However, the 2017 External Consultants Report revealed some concerns with the data resulting from the audits. The report mentioned that “it was said that staff had been told when inspection was going to take place, so areas were cleaned up before the inspection occurred, giving a false representation.” They also reported that the inspection tool used is very systematized for all staff and all areas and does not take into account the specificity of each building inspected. This hardly gives an understanding of how staff are performing or how buildings are going to be kept cleaned.

The misrepresentation makes it hard to view accurately performance as a shared value. Even in the cases where the data collected reflect the reality of the facilities, there is still a concern. The question is how the data collected using the customer surveys and the results of the audits are utilized to positively affect and maintain performance. When studying Leadership and Performance Management Systems, we learned that “Paralleling the transition from strategic planning to strategic management, we need to shift the emphasis of the performance movement from performance measurement to a focus on performance management over the coming decade.”(Poister, 2010). However, before then, it is important to relaunch the Core management processes.

The external consultants perceived during their observations that the process of providing feedback to custodial staff and customers is unclear. They also found that the effectiveness of Core Management quality assessment process was questionable by almost all the stakeholders with the inconsistent cleaning quality across buildings, the lack of training and clear communication of expectations (2017 External consultants report). I conducted focus groups discussions with some high performer custodians and they underlined Core Audits ineffectiveness mostly because the Core Smart Inspection Program loses complete sight of the specificity of the different areas audited or inspected.

Sources: External review report, Observation, Personal experience, Focus groups discussions with Custodial Services staff
Systems story: High-level observation and recommendations

High-level Observation

Before 2007, UVM Custodial services was part of Physical Plant Department. In 2007, the University decided to create an independent department by bringing together custodial staff from across campus into a singular and unified organizational structure. The new structure allowed an easy implementation of standardization, and consistency across campus. This new administrative structure was placed under the leadership of Leslye Kornegay, the first Director.

After the creation of Custodial Services Department, the University has faced financial challenges, which has led to envisioning outsourcing of the department’s work at some point. The University’s leadership wondered if it would be beneficial to have cleaning done by a private company. Later on, the University concluded that cleaning could be done in-house more cost effectively than by various external vendors. However, some specific tasks such as pest control, language translation services, window washing and Vendor Management Inventory for cleaning supplies, Custodial Services Department has relied on third-party vendors where feasible instead of hiring additional staff.

Leslye Kornegay led the department of Custodial Services from 2007 to March 2016. Under her leadership, the department has managed to keep up with the needs of the university. As the external consultants revealed in their report, the previous director “seemed not to have produced the most appropriate or efficient working atmosphere at the University.”(2017 External Consultant Report). However, apparently, the consultants acknowledge that Leslye Kornegay put in place the base for a successful department. After she left, in March 2016, Bill Ballard played the role of the interim director and a search committee was designated to hire a new director. In January 2017, Gerald Coleman was hired as the new director of UVM Custodial services. Obviously, as Mr. Coleman assumes his new role, he faced the challenge of a department that needs to be efficiently and strategically structured and organized.

The University of Vermont Custodial Services Department can be presented as a one of the most diverse groups of individuals on campus that are almost 200 in number with representation from 22 countries speaking more than 20 different native languages (CSD UVM web page). The Custodial services Department contributes to the impressive diversity of staff at the University of Vermont. However, one of the biggest challenges is the language barrier, English not being the first language for the vast majority of the staff members. The department has supported this diverse workforce by initiating programs to develop and advance its talent pool. The department is committed to hiring and promoting without discrimination or bias and by recognizing the cultural value that diversity brings to the campus community. In addition, CSD staff continues to participate in University trainings, forums, and seminars that relate to the topic of diversity. To overcome the impact of the language barrier on the operations and the staff’s wellbeing, the Department regularly sponsors on-site interpreters to facilitate supervisor led Train-the-Trainer as well as translation support for documents and postings regarding job procedures and safety (2017 Self-study). In the meantime, the Department sponsors the ESL program that gives employees basic language skills that will often be necessary for career progression and staff development.

Even though the diversity of staff at UVM Custodial Services is a source of pride for the department because the University as a community tends to promote diversity and inclusiveness, some customers do not perceive it as a strength for the Department.
During the Administrative Unit review, when the external consultants asked about staff diversity within the department, the customers were not always appreciative of it because of the language barrier. They stated that the major problem within the department is the language barrier. For the customers interviewed, “the concern is that the language barrier is getting in the way of proper trainings, thus creating a communication issue between the staff and the customers… the concern continued with management stating that it is one of the challenges”(2017 External Consultants Report).

For the purpose of other project (my internship in place) and with the input of my colleague frontline custodial supervisors, we put together two lists of ten high performer employees based on the inspections results of their work areas. In other words, we defined the high performer employees based on the cleanliness of their areas of assignment. During the focus group discussions I conducted with high performer custodians, they revealed that they are under the impression that some customers look down on them because of the nature of what they do to earn a living (cleaning).

While interviewing the Director of the Department, he used the terms “low hanging fruit” to refer to CSD because to be hired as custodians, the candidates are not required to have any educational level, diploma or anything as such. With the customer perception of Custodial Services in a changing fiscal climate, the department seems to be under a constant threat.

**Recommendations**

Based my findings, I am making some recommendations that might inspire the senior leadership:

- Put together a list of the building and the people of contact for each facility
- Work on introducing custodians and supervisors to the customers and establishing an effective communication system first between custodians and the customers then, between the supervisors and the customers.
- Suggest a definition of basic coverage (essential cleaning) to the customers and allow their input. In other words, collaboratively define with the customers what the priorities is in days of storm or staff shortage. That would likely vary from one customer to the next and from one facility to the other.
- Keep the customers informed about projects schedules, snow days’ coverage, staff shortage and types of cleaning to expect in case of staff shortage and a suggestion of catch up plan afterward.
- Share with custodians the weekly or monthly event schedules in the facilities. It will help them better manage their time and provide quality service to the customers in a timely manner.
- Supervisors would gain by getting to know better their team members. Myers Briggs might be an example to explore.
- An effective use of the equipment would help lower the stress and pressure felt on days of staff shortage, snow days. It would be helpful to train staff how beneficial using equipment properly would be.
- Consider hiring floaters (employees who won’t have a designated assigned area and who could be sent anywhere to address staff shortage and absenteeism)
- Relaunch Core Management processes and address the downfall of the current inspection tool that is systematized for all staff and all buildings (2017 External Consultants Report).
- Coach, mentor, train employees and hold them accountable
Concerning UVM custodial services workforce diversity, I wonder where the department as an organization is located on the continuum of cultural competency. It does not seem to me that UVM custodial services workforce diversity is fully apprehended as an asset. Based on the anecdote of the “Wisdom of the crowds”, I was taught that workforce diversity is an asset for the simple fact that “collections of agents outperform individuals partially because people see and think about the problems differently.” (Course material of 2/14/2019 about Workforce Diversity and Cultural Competency). In the same vain, I learned that “High-performing teams are both cognitively and demographically diverse,” (Bourke and Dillon, 2018, p. 84). If UVM custodial services teams are not seen as high performing by their customers, then work needs to be done by the leadership team to fully take advantage of the diversity of the teams. This might mean more transparency and more involvement of frontline staff in the decision making process. As I take a close look at the Continuum of Cultural Competency, based on the 2018 customer service survey, the external consultants report and my personal experience, I personally think that as an organization, UVM custodial services is between “Cultural Pre-competence” (explore cultural issues, are committed, assess needs of organization and individuals) and “Cultural Competence” (recognize individual and cultural differences, seek advice from groups, hire cultural unbiased staff). The department as an organization needs to work more on cultural competency because the more culturally competent custodial services teams will be, the higher performing they will become, and the better they will satisfy their customers.
Appendix A: Leader Interview write up

On March 5, 2019, I had the opportunity to interview Mr. Gerald Coleman, the Director of the University of Vermont Custodial Services Department. When talking about his role in the organization, Mr. Coleman introduced himself as someone who is working on developing a vision and a strategy and implementing procedures that are already in place.

For Mr. Coleman, effective communication, collaboration and openness to change and new ideas make for effective leadership. For him the life of the organization is made of vicissitudes and constant problem solving to overcome challenges. In addition, he explained that effective communication and collaboration play an important role for the organization.

The UVM Custodial Services mission is to provide the university with a clean and healthy environment in which to live, learn, and work. Mr. Coleman said that the organization’s mission and purpose are used to guide and align practices. He went on adding that it noticeable in staff members’ efforts every day.

To the question of setting and pursuing performance goals, Mr. Coleman replied that the department has performance goals, but is working on setting an even greater new goal. The ultimate goal is to provide the best facility services. To reach the performance goals, department relies on training and professional development promoted at all levels within the department. He revealed that performance is trucked through the weekly inspections of the buildings using Smart Inspect software and through customer surveys and feedback. The department also has core audits run by third party inspectors who audit the campus facilities cleanliness. The internal and external inspections of the buildings help point out deficiencies and allow auditors to suggest a recovery plan based on the deficiencies noticed.

When asked if the organization engages in strategic planning, Mr. Coleman confirmed that the UVM Custodial Services Department engages in it on an annual basis and he finds the plans very effective. He said that the previous plan, for instance, focused on mechanizing the equipment to increase professionalism and productivity. Mr. Coleman intends to keep focusing on professionalization and improving the department image in the coming strategic plan. For instance, he is suggesting a dress code at least for the leadership team. The new plan will be also focusing on the rebranding to take into account the scope of work that the organization performs, which is not only cleaning, but also things like pest control, recycling, snow removal, composting and others. Mr. Coleman is convinced that the university community is generally no well informed about what the custodial department’s scope of work is.

Concerning the organization’s human resource management capacities, the Director responded that the UVM Department of Custodial Services has within its senior leadership team an Administrative Professional Human Resource Business Manager and an Administrative Coordinator for Training and Professional development. Additionally, the department receives HR services from the Managers for Residential Life and Academic for hiring and grievances processes. Mostly important, the Administrative Professional Human Resource Business Manager works collaboratively with the University Human Resources Services when it comes to instances in labor relations, payroll processes and benefits.

Mr. Coleman presented his department as an organization of great outreach with partners and external constituencies. He mentioned that beyond the university’s community, the department has a large outreach the department has 240 staff members from more than 20 different countries around the world. For most of the employees, English is not their first language. To overcome the language barrier, before the employees started receiving English classes through the university’s Global Gate program, the department was in partnership with Vermont Adult Learning for ESOL classes. The department also is
in partnership with the Association of African Living in Vermont, which provides the department with interpreters when needed (for new employees’ orientation, and some departmental functions). The department is also in partnership with United Ways and Working Bridge, which provide the employees with useful resources.

Beyond the traditional means of communication such as emails, phone calls and messaging, radios, the Director has initiated “Town Hall Meetings” where he meets with supervisory zones one by one on regular basis to hear directly from frontline staff. He also has a “Town Hall Meeting” with frontline supervisors to discuss with them without the managers around. The department has also “All Hands Meeting” where the director invites all department staff members to share information about the organization. A few months ago, the director started introducing E-screen - a communication platform and he intends to pursue this new initiative.

Mr. Coleman reassured that he is supportive of staff professional development and department offers in-service once a year to all frontline staff. It is an all-day training on mostly safety, quality, and customer service. Frontline supervisors receive many soft and hard skill trainings through their memberships in organizations such as International Executive Housekeepers Association that just merged with the International Sanitary Supply Association (ISSA), for more professional development opportunities, NNECEARAPPA, which stands for Northern New England Chapter of the Eastern Region of APPA (the Association of Physical Plant Administrators). Today APPA is an association of leaders in educational facilities. The chapter provides high quality educational and networking opportunities at its annual chapter conferences. The department pays for staff’s membership fees and the fees to attend training sessions and an annual conference. Mr. Coleman reminded me that the 2019 NNECEARAPPA Annual Conference would be happening soon and that the University of Vermont would be hosting the event. He added that over 200 educational institution facilities professionals from around Northern New England were expected to attend. He said he thought it would be a great opportunity for learning and networking. Opportunities to participate in conferences such as this when they are out of state are typically limited to the leadership team including frontline supervisors but not frontline custodial workers.

When questioned about some of the major challenges affecting the success of the department of UVM Custodial Services, Mr. Coleman shared that the department has been experiencing budget cuts for years, which lead to the loss of 15 staff member positions. Meanwhile, customers’ expectations continue to grow high and the space serviced is increasing. Mr. Coleman believes that UVM Custodial Services appears to be an easy target when it comes to budget cuts, because “it is a low hanging fruit and the easy thing to do” by the university. The employees are not required to have high qualifications to be hired. For Mr. Coleman, the other major challenge that the department faces on daily basis is making changes within the union environment because the many initiatives need to be in accordance with the union contact before any possible implementation.
Appendix B: Participant observation write up

UVM Custodial Services is my organization of interest for this assignment. Since January 15, 2019, Custodial Services’ frontline supervisors and senior leadership team have been meeting every other week to receive training on the United Electrical Workers (UE) contract that has been in effect since 2017. Dr. Peter Blackmer, the UVM Administrative Professional Senior for the Division of University Relations and Administration conducts the trainings. The majority of custodial frontline staff are unionized employees. The goal is to educate the custodial leadership team on the terms of the contract in order to lower contract violations and empower the leadership team.

Although I serve primarily as a supervisor support person, I am also a frontline supervisor, and have the opportunity to take these trainings. On 2/26/2019, we had a training session and I decided to observe the session. The training was scheduled to last an hour from 6am to 7am. While the audience was waiting for the session to start, the trainer, Dr. Blackmer checked to make sure that everyone was in the room. When he realized a few frontline supervisors were not in the room, he suggested we give them five minutes to join us. One of the managers in the room objected to Dr. Blackmer’s suggestion and insisted that we start the session without waiting for those who were running late.

Keeping custodial supervisor positions filled is difficult under the manager who refused to wait for the frontline supervisors. There is a lot of turnover. For several months now, she has been having three vacancies: two frontline supervisors have resigned and one has announced his retirement. Recently another frontline supervisor reporting to her has just stepped down. The position carries with it a lot of responsibility including adhering to the UE contract. It is considered “the bible” for custodial supervisors.

Given the limited number of seats in the room, the department’s director gave his seat away and stood up by the door. He seemed more concerned for frontline supervisors attending the session than for himself.

Dr. Blackmer presented a training module on article 9 in the UE contract entitled Grievance and Arbitration Procedure. He explained what actions are “grievable”. As part of this module, he discussed UVM’s Custodial Service Common Ground values. Connie Russell, the department’s Administrative Professional Human Resources Business Manager, who assisted with the training, made a point that the department common ground values are not to be confused with a set of rules. They are not part of the contract and therefore, are not “grievable”. She added that they would be “grievable” by UE members if they were a set of rule incorporated in the contract. The training ended on the discussions about article 10 - Discipline and Discharge, which Dr. Blackmer presented as tools that management uses to improve and support performance.

Analysis

After observing the training session, few facts attracted my attention and I would like to reflect on them a little bit deeper.

The initiative of the training shows how concerned the department is with increasing the knowledge and skills of its employees. As we know, training is important at many levels, for personal growth and professional development. For instance, it helps increase job skills and shape attitudes of employees to perform better. The UVM custodial leadership team, especially the frontline supervisors are considered as agents of management and since they are the ones directly engaging with unionized frontline staff
members, it is crucial that they master and embody the contract’s terms. The contract was negotiated in good faith and it is important to implement it in good faith as well.

The refusal to wait for few more minutes for the frontline supervisors supposedly running late was not a big issue and could be understandable, but the most concerning thing was the tone and tenor used; a little discomforting and surprising. The manager’s behavior made me think about the ladder of inference, as it leads to bad judgements. I must say that I saw her climbing the ladder of inference. The training session was scheduled to start at 6am, which it when some custodians start their shift and need to receive instructions from their supervisors. The supervisors running late were meeting with their employees before rushing to the training session. Scheduling the meeting to start a 6:30am could have been a better option. If the manager has questioned her assumptions and conclusions, she would have avoided objecting to the trainer’s suggestion to wait for five minutes.

The manager who insisted upon starting the training on time perhaps was trying to make a point about being punctual. However, the manager who was opposed to wait for her colleagues also has position vacancies in her department. Perhaps a hard-nosed approach could be the blame. Could her leadership style be causing high levels of turnover? These questions are worth considering if we are to identify and ultimately rectify problems with an organizational culture.

The lack of seats in the conference room and its small size did not allow everyone on the leadership team to have a comfortable seat the room. However, the director, by giving up his seat showed by his actions that he cares for his employees. This demonstrates that he cares, and he could be a good advocate for his staff members.

In addition to the mission statement of the department, which is “we provide the university with a clean, safe and healthy environment in which to live, learn and work”, there are values shared and promoted within the department and beyond. The UVM Custodial Services Common Ground Values are known under the acronym of “I CARE”, which stands for Integrity, Commitment, Accountability, Respect and Excellence. These are values that we believe in our organization but they are not part of the UE contract and are not “grievable” by union employees unlike the rules contained in the contract. This is the point that the department HR manager brought up during the training session. She made it clear that the department common ground values are not to be taken for set of rules, but set of values.

**Process**

This exercise was an interesting experience in the sense that it allowed me to pause, pay close attention to small details, and reflect on what I observed. Being one of the department’s frontline supervisors attending the training session and playing the role of the observer at the same time, may have left room for biases. In other words, my prior knowledge of the leadership team might have influenced my observations, assessment and analysis.
Appendix C: Additional materials/data collected

- Focus group discussions with UVM Custodial Services employees
- PA 302 Course material of 2/14/2019 about Workforce Diversity and Cultural Competency
- Survey based on a selection of 15 categories of the Mc Kinsey Assessment Capacity Grid with the senior leadership team of UVM Department of Custodial Services
- The 2017 UVM Custodial Services Administrative Unit Review Self-study
- University of Vermont, Custodial services (2016), *the custodial services director welcomes you.* Retrieved from http://www.uvm.edu/custodial/?Page=director.htm
- UVM Custodial Services 2018 Customer Service Survey and Results.
Appendix Ff: Student Led Reading Assignment

Management Training and Development
(Group project conducted by myself and Barbara Asiimwe)

We read *Management Training and Development*, an article written by Olshfski and Cutchin. In this article, the authors talk about the evolution and the necessity of training for executives and managers, both in the public and private sectors. For the authors, in an environment marked by global competition, technological and scientific advances, it is crucial that executives and managers ensure their organizations are positioned for success. To do so, senior business and government executives necessarily need to rely on education and training. How to link education to business strategy or results? How management education is responding to the challenges?

In response to these interrogations, the authors examine six categories of management training programs and their effectiveness. They show that the training programs are designed and implemented by universities, consulting firms, or in-house training departments. Regardless of the type of training program and the locus of the educational effort, the criteria of assessment is the extent to which each training program integrates individual and organizational goals.

First Category: Indoctrination programs… “The way-we do-things-here.”

They help organizations to communicate to new managers, the organization’s philosophy or organizational culture, an overview of the organizations’ standard operating procedures and others. They are also used to inform experienced employees about new organizational policies and processes. These programs usually show no explicit attempt to link individual and organizational goals. However, they focus either on individual goals or organizational goals, not both.

Second Category: Traditional Management Training

This model is used to parallel the academic disciplines in universities. Usually, the subject matter is not an organizational matter. It is up to the learner to uncover the linkage between the topic and the
problems in a specific organization. If need be, the subject matter will change to suit the hierarchical and educational level of the participants.

It cost-effective since many participants can work with a single instructor. It also accommodates distance-learning activities. However, with this model the linkage between increased non-technical individual knowledge and organizational outcomes is harder to pin down.

Third Category: Insight

It is designed to develop and convey insight. This model relies on the assumption that a good manager knows her individual strengths, weaknesses, skills and likely behaviors. Therefore, the good manager can predict with certainty the consequences of her actions. This model allows the manager to deploy herself and subordinates to the best advantage. This model frequently links individual development with organizational improvement through the assumption that individual knowledge or skill improvement will produce organizational improvements. However, the linkages are difficult to measure, both at the individual and organizational levels.

Links with real world examples

1. Article written by Lauren R Brown and entitled A third of L&D professionals’ overwhelmed and under skilled

This article refers to a survey of 7,500 L&D (learning and development) professionals conducted by Toward Maturity. Based on the data collected, they found that 29% of learning professionals are “overwhelmed by and under skilled” to deal with workplace challenges. The report also revealed a lack of learning culture in the organizations as well as a resistance from managers to make time for learning.

2. My internship in place with the University of Vermont Custodial Services Department

I can draw a link from this reading to the topic (frontline supervisor empowerment) I am working on for my internship. The UVM custodial services came to the realization that its frontline supervisor need to be empowered to face the new challenges related to their rapid changing environment. Since the
implementation of the Incentive-based Budget model by the University a few years ago, the Department of UVM custodial services is trying to follow the trend by promoting professionalism and excellence. The Director of the Department believes that professional development and training is the way to go. Frontline supervisors are asked to take supervisory learning series, a six-month training cohort offered by the UVM professional development and training department, as part of the indoctrination program after attending new employees orientation offered by Human Resources Services. They are also encouraged to be active members of professional organizations and associations in the cleaning business mainly because of the learning and networking opportunities, they will benefit from.

**PowerPoint Presentation**

**Outline**

- Background
- Locus of training
- Categories of Management Development Programs
- Conclusion
- Link to contemporary example
**Locus of training**

- Porter and McKibbin’s (1988) survey - majority of all firms used all 3 types of training: universities, consulting firms or in-house training departments.

<table>
<thead>
<tr>
<th></th>
<th>Universities</th>
<th>Consulting firms</th>
<th>In-house training departments.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Advantages</strong></td>
<td>• fill niches that in-house programs cannot accommodate</td>
<td>• ability to offer a level of expertise unavailable elsewhere (Porter and McKibbin, 1988).</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• participants to interact with managers from other organizations and to gain broadcast exposure to new ideas in the field (Porter and McKibbin, 1988).</td>
<td>• vary widely in their quality, design, implementation, and level of sophistication</td>
<td></td>
</tr>
<tr>
<td><strong>Disadvantages</strong></td>
<td>• program vary widely among universities and no agreement on what precisely constitutes leadership or executive development nor is there commonality among universities to focus on skills or concepts (Spinder, 1992).</td>
<td>• operate under the pressure to make money</td>
<td>• ability to provide training specific to organizational needs in a cost-effective manner using company expertise (Porter and McKibbin 1988).</td>
</tr>
<tr>
<td></td>
<td>• no backing from university.</td>
<td></td>
<td>• powerful tools to initiate organizational change (Tichy, 199 Nilson 1987).</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• There are niches that cannot be accommodated</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Limited interactions with managers from other organizations and less exposure to new ideas</td>
</tr>
</tbody>
</table>

- Regardless of the locus of the educational effort, all the three training providers are influenced by new technologies that make distance learning possible.
## Categories of Management Development Programs

Dev't programs are characterized by extent to which the program involves a conscious effort to link individual and organizational goals.

<table>
<thead>
<tr>
<th>Program description and format</th>
<th>Indocration Programs</th>
<th>Traditional management</th>
<th>Insight programs</th>
<th>Trend related programs</th>
<th>Tailored programs</th>
<th>Tailored process</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program description and format</td>
<td>&quot;How we do things here&quot; information</td>
<td>Parallels academic disciplines</td>
<td>Assumes manager knows his or her individual strengths &amp; weaknesses therefore deploys him or herself and subordinates to the best advantage</td>
<td>Current managerial problem or process, not a particular discipline. Case studies and packaged simulations will be used.</td>
<td>Problem is identified</td>
<td>Participant executive to define the problem</td>
</tr>
<tr>
<td>Scope</td>
<td>Large classes</td>
<td>Appropriate for all levels &amp; Subject changes to suit executives' need</td>
<td></td>
<td>Appropriate for levels management</td>
<td>Custom for executives and managers</td>
<td>Custom for executives and managers</td>
</tr>
<tr>
<td>Advantages and disadvantages</td>
<td>Not labor intensive. Simple form of management training with direct and explicit aims.</td>
<td>Cost-effective</td>
<td>Low labor intensity</td>
<td>Slightly more labor</td>
<td>Labor intensive</td>
<td></td>
</tr>
<tr>
<td>Effectiveness</td>
<td>Simple informational programs</td>
<td>Focus is either individual goals or organizational goals, not both</td>
<td>Difficult to measure</td>
<td>Little effort on linkages between ongoing organization efforts and new program or process. Top-level Organizational support needed for large scale efforts.</td>
<td>Explicitly links individual learning with organizational change.</td>
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</tr>
</tbody>
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### Link to Real World Example

**The Transformation Journey**

**People Management**

**Research**

A third of L&D professionals ‘overwhelmed and underskilled’

29 Mar 2019  by Lauren A Brown

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Conclusion

A successful match between a management team and provider of the development effort depends upon;

- Clear identification of the goal expected as a result of the training
- Analysis to discover if the chosen goal can be accommodated by a particular program
- Clear thinking about how to measure results.
## Appendix Gg: Staff Annual Performance Review

**THE UNIVERSITY OF VERMONT**  
**DIVISION OF ADMINISTRATIVE & FACILITIES SERVICES**  
*Performance Evaluation Form – UE Staff*

<table>
<thead>
<tr>
<th>NAME:</th>
<th>POSITION:</th>
<th>DEPARTMENT:</th>
<th>DATE: OF HIRE:</th>
<th>EVALUATION YEAR:</th>
</tr>
</thead>
</table>

|----------|----------------|-------------------------|---------------------------------|---------------------|------------------|

### QUALITY OF WORK:
Demonstrates thorough, accurate, timely, neat and consistent performance

**Comments:**

### PRODUCTIVITY / QUANTITY OF WORK:
Shows steady output; efficient use of equipment, resources and time

**Comments:**

### JOB KNOWLEDGE:
Understands duties, has the information and skills to perform effectively and knows equipment; understands impact of decisions

**Comments:**

### CUSTOMER SERVICE:
Is attentive and responsive to customer needs, pleasant and polite; communicates with customers to avoid disruptions

**Comments:**

### JUDGMENT:
Adapts to changing situations and responds appropriately; uses reasoning and job knowledge to accomplish tasks; makes competent decisions

**Comments:**

### WILLINGNESS TO LEARN:
Is open-minded; has flexibility of thought; accepts change willingly; accepts instruction and feedback

**Comments:**

### INITIATIVE:
Works independently, is motivated to seek additional tasks, accepts responsibility and shares ideas; keeps supervisor informed; recommends solutions to problems

**Comments:**

### RELIABILITY / ATTENDANCE:
Is dependable, conscientious, consistent and punctual

**Comments:**

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<table>
<thead>
<tr>
<th>Comments:</th>
</tr>
</thead>
</table>

| --- | --- | --- | --- | --- | --- |

**TEAMWORK:** Demonstrates effective communication skills; shares work effectively; handles pressure well; understands and demonstrates The Common Ground principles

*Comments*

**RESOURCE STEWARDSHIP:** Understands and practices responsible use of institutional and environmental assets

*Comments:

**SAFETY:** Understands and complies with departmental procedures, including safety and health regulations; plans in advance; exercises personal safety on the job, takes proper care of tools, equipment and supplies

*Comments:

**CULTURAL AWARENESS:** Demonstrates a responsible commitment to others and respects cultural differences

*Comments:

**PERSONAL GROWTH:** Understands strengths as well as opportunities for growth and works to improve performance.

*Comments:

**OVERALL:**

*Comments:

Employee acknowledges receipt of performance evaluation and opportunity to respond. Signature does not imply agreement or disagreement.

**Employee’s Signature** / Date  
**Supervisor’s Signature** / Date

**Manager’s Signature** / Date  
**Director/Designee’s Signature** / Date

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Appendix Hh: Reading response

PA 323

Reading response

The article that I would like to write about this week is the one entitled *Keeping up with the digital age: How the American Red Cross uses social media to build relationships* from Rowena L. Briones et al. As it stated in the title, this reading is about how to build relationships using social media in general and in the American Red Cross in particular. Also, the reading presents the obstacles or challenges and the opportunities attached to using social media to build relationships.

During this age of social media, it quiet impossible for an organization to ignore the fact that social media is a great tool for building a successful network of relationships. However, it remains very challenging in the nonprofit sector due to the nature of the actors involved first of all and also to the effort that should be continuously put in mostly. For instance, it difficult to get the support and the buy in of the board members and the chapter who are from the older generation and happen to be the majority of the actors, the volunteers and most importantly the donors. Another barrier is the accuracy of the information, which to be constantly updated. That is certainly what the authors are pointing out by saying that: “It is a big challenge to get our board members to understand why we need to do this and why we think social media is important” and also by adding that: “If you’re going to go to the effort to have social media, you need to make sure someone is updating that information” as stated by a participant from the northeastern region. Thus, staffs have to be responsible for maintaining their sites, monitoring their sites as well as reviewing outside sites for information. The participants are stretched thin with small staffs unable to fully support large social media efforts.” (p.40)

Despite all, there are opportunities for using social media to build relationships. The more organizations update their strategies and tactics to explore social media as a tool to build relationships, the more it will facilitate the collaboration between chapters and National Headquarters.

Reference:
