BRAINSTORMING

In 1938, Alex F. Osborn, an advertising executive, invented the process of "organized ideation" in a company he headed. The early participants referred to their attempts as "brainstorm sessions," in the sense that they were using the brain to storm a problem. The term *brainstorming* has now become the accepted way of referring to group attempts to solve specific problems or develop new ideas by amassing spontaneous, unrestrained contributions by members.

Osborn (1979) credited the origin of the process to Hindu teachers in India, who have used the method of *Prai-* (outside yourself) *Barshana* (question) for over 400 years. During such a session, there is no discussion or criticism; evaluation of ideas takes place at later meetings of the same group.

Brainstorming can be used to generate possible solutions for simple problems, but it is unrealistic to expect it to accomplish most problem-solving or planning tasks. The technique is of value as part of a larger effort that includes individual generation of information and ideas and subsequent compilation, evaluation, and selection. Brainstorming can be used to generate *components* of a plan, process, solution, or approach and to produce checklists.

Osborn (1948) saw the value in a session that was designed solely to produce a list of ideas that could be used later in problem solving or other creative processes. The key to the success of the process is that no evaluation or judgment is made of the ideas as they are being generated. Because of this, creativity is not stifled, it is increased. The objective is to generate as many ideas related to the specific topic or question as possible. Studies have shown that the ideas generated by the group tend to get better as the group gets warmed up.

The value of the process is that more good ideas are produced in less time than would be produced in a typical meeting or conference. Discussion, evaluation, and selection occur at a later time.

One of the reasons why brainstorming works is that ideas generate further ideas through the power of association—a process that has been called "hitch-hiking" or "piggybacking." Also, the technique of "free association" is more powerful when one is working in a group than when one is working alone. Reinforcement is another factor that leads to increased creativity. In the idea-generation phase of brainstorming, all suggestions are rewarded by being received and listed—a positive reinforcement. Nothing is criticized; there is no negative reinforcement.

THE GROUP

The optimum size for a brainstorming group seems to be six to twelve members, and the optimum group consists of women as well as men. Brainstorming is a total-group effort. Breaking into smaller groups would defeat the purpose of the brainstorming session.

BEGINNING

Prior to the actual session, group members should be provided with a one-page memorandum that states the problem to be considered and outlines the brainstorming procedure.

At the beginning of the actual session, if group members are not already acquainted with one another, they should be introduced (a getting-acquainted activity can be used for this). It is a good idea to conduct a warm-up activity, with the group members directed to brainstorm solutions to a simple problem that is unrelated to the topic of the actual session.

THE PROCESS

The leader begins the work session by stating the problem or topic in specific, not general, terms. The problem should be simple rather than complex, so that the group can focus on a single target. The leader should have a list of categories, classifications, or leads (new uses, adaptation, modification, increase, decrease, substitute, rearrange, combine) that can be suggested to the group members if they seem to be getting off track. The leader also can have a few ideas about solutions ready to throw in when the group seems to lag.

It seems to work best if one idea at a time is offered by any one member. This allows all members the space to participate and encourages "piggybacking" on previous ideas.

A recorder (not necessarily the leader) lists all ideas (but *not* who suggested them) on newsprint as soon as they are generated. This list is positioned so that all members can see it. The session also may be tape recorded to make sure that no ideas are lost.

The Rules of Brainstorming

The following criteria are essential to the idea-generation phase of a brainstorming session (Adams, 1979):

1. ***There is no criticism, evaluation, judgment, or defense of ideas*** during the brainstorming session. The purpose of brainstorming is ***to generate as many ideas related to the topic as possible in the time allowed.*** Evaluation, judgment, and selection of ideas are the purposes of subsequent sessions.
2. ***Free wheeling and free association is encouraged.*** Group members are asked to voice any solutions they can think of, no matter how outrageous or impractical

they seem. There is no limit on "wild" or "far-fetched" ideas. Every idea is to be expressed. It is easier to tone down an idea and to select out later than it is to think up new and creative possibilities.

3. ***Quantity is more desired than quality.*** Group members are encouraged to contribute as many ideas as they think of. The greater the number of ideas generated, the more likely it is that there will be several useful ideas.
4. ***Building on ideas is encouraged.*** Combining, adding to, and "piggybacking" on ideas is part of the creative process. Members can suggest improvements, variations, or combinations of previous ideas.

Stimulating Creativity

Osborn stressed the need for the leader or group to keep the process open. No one should be allowed to comment on the ideas of others unless the comments are totally positive ("that's great," "right, right, and . . . ."). In addition, the sessions should be informal: members should be advised to dress comfortably, and meals, if included, also should be informal. A *playful* atmosphere is most conducive to creativity; often "crackpot" ideas turn out to have a great deal of potential. If it is difficult for the members to loosen up, it may help to create an atmosphere of safety if the norm is established that "no one will comment on who suggested what" outside the brainstorming session.

It is important that the brainstorming session continue after the "first wave" of enthusiastic contributions. Often the most innovative ideas are produced when the group members are forced to push themselves to think of something new.

Subsequent Ideas

It is likely that members will continue to think of ideas for several days after the brainstorming session is held. Some mechanism by which the individual members can get in touch with the leader or recorder after the session will help to ensure that no ideas are lost. In fact, experience indicates that the most valuable ideas are generated after members of the brainstorming group have "slept on" the problem. This process can be facilitated by sending the group members a printed, triple-spaced list of all the ideas that have been generated by the group, with the ideas classified according to categories. A certain amount of time can be allowed for them to fill in additional ideas and return the list.

Only after the group has exhausted its supply of ideas does the brainstorming session move into the idea-evaluation phase. Only now can ideas be criticized as the group strives to reach consensus on a few workable solutions.

EVALUATION AND SELECTION OF IDEAS

There is controversy over whether the group that later evaluates the ideas should be the members of the original brainstorming group. One side argues that it is negative human relations to ask the first group to generate the ideas and then cut them off from the rest of the process. It also may generate negative reactions if they know that others will be critiquing the ideas and deciding which are to be discarded. If the members of the brainstorming group are sufficiently familiar with and interested in the problem to perform their initial task, they are probably qualified to continue the process. This creates a linkage between generation of ideas, evaluation, and development (use of the evaluated ideas) and ensures commitment to the final solution or plan.

On the other hand, some believe that the evaluation should be done by persons who are better aware of feasibilities and who are more objective. It is also recommended that the final evaluation be done by those who are directly responsible for the problem. For several reasons, this may or may not be those who were selected to generate ideas. If the latter course is chosen, however, it is imperative that the members of the brainstorming group be informed of the final disposition of their ideas.

Before it actually begins to consider the list of ideas, the evaluation group (whether it makes final decisions or recommendations only) should establish criteria by which to examine each of the ideas. Such a checklist might include questions about feasibility, complexity, costs, human factors, timing, quality, improvement, resources, safety, work flow, and other pertinent factors.

In many cases, the ideas will pass through several groups before final decisions are made. For example, the critique and evaluation group may be composed of functional managers who make recommendations to higher management. This level of management may consider the recommendations and make decisions or it may select plans to be reviewed and commented on by a cross-section of customers. The ideas may be treated as a springboard for the development of more in-depth plans. Testing may need to be done. In most cases, the nature of the topic or problem will determine how the ideas are handled subsequently.

INDIVIDUAL BRAINSTORMING

Brainstorming can be conducted on an individual basis as well (Hayes, 1981). One can write down possible solutions to a clearly outlined problem, forcing oneself to keep the ideas flowing from the pen without stopping. This use of brainstorming is effective at stopping one of the strongest drains on creativity: self-criticism or negative self-talk. People tend to criticize themselves, their thoughts, and their actions far more than they praise themselves. A person whose every idea is accompanied by the thought, “What a stupid idea; they’ll just laugh at me if I tell them,” is not very likely to share ideas with others. Because the brainstorming process encourages the continual production of uninhibited ideas, it can be an effective exercise in creativity.

Reviewing one's list when ideas are slow to come may spark new ones. Then, just as in a group session, the individual can consider the list and select those ideas that seem to best solve the problem.

An individual brainstorming session also can be effective when one is trying to write. Just as the idea-generating phase may produce the solution to a problem, it also may help an individual to overcome writer's block and the inhibitions felt when faced with a blank page.

REFERENCES

Adams, J.L. (1979). *Conceptual blockbusting: A guide to better ideas* (2nd ed.). New York: W.W. Norton.

Hayes, J.R. (1981). *The complete problem solver.* Philadelphia, PA: Franklin Institute Press.

Osborn, A. (1948). *Your creative power.* New York: Charles Scribner's Sons.

Osborn, A.F. (1979). *Applied imagination: Principles and procedures of creative problem-solving* (3rd. rev. ed.). New York: Charles Scribner's. [Orig. ed. 1953.]

1. No criticism, evaluation, judgment, or defense of ideas during the brainstorming session.

2. No limit on “wild” ideas, no matter how outrageous or impractical they seem. Every idea is to be expressed.

3. Quantity is more desired than quality.

4. “Piggybacking”—building on ideas—is encouraged.

Rules for Brainstorming

THE DECISION CYCLE

The decision-cycle model was developed by Nena and George O'Neill (1974) to illustrate the cyclical nature of decision making and to emphasize the importance of continual reassessment of one's decisions.

The model offers some important concepts concerning the making and implementing of decisions. First, the decision process is represented not as something people do once in a while but as a *continuing process.* Second, it points out that the decision process is an *internal* function. Decision making has no impact on the world outside the individual until he or she makes a commitment and takes some action to change environmental circumstances. Last, when reconsidering a previous decision, an individual can re-evaluate two sources of information: his or her *internal* thoughts and feelings and the *external* environment, as perceived by his or her senses. It is important to recheck these sources regularly.

STAGES OF THE CYCLE

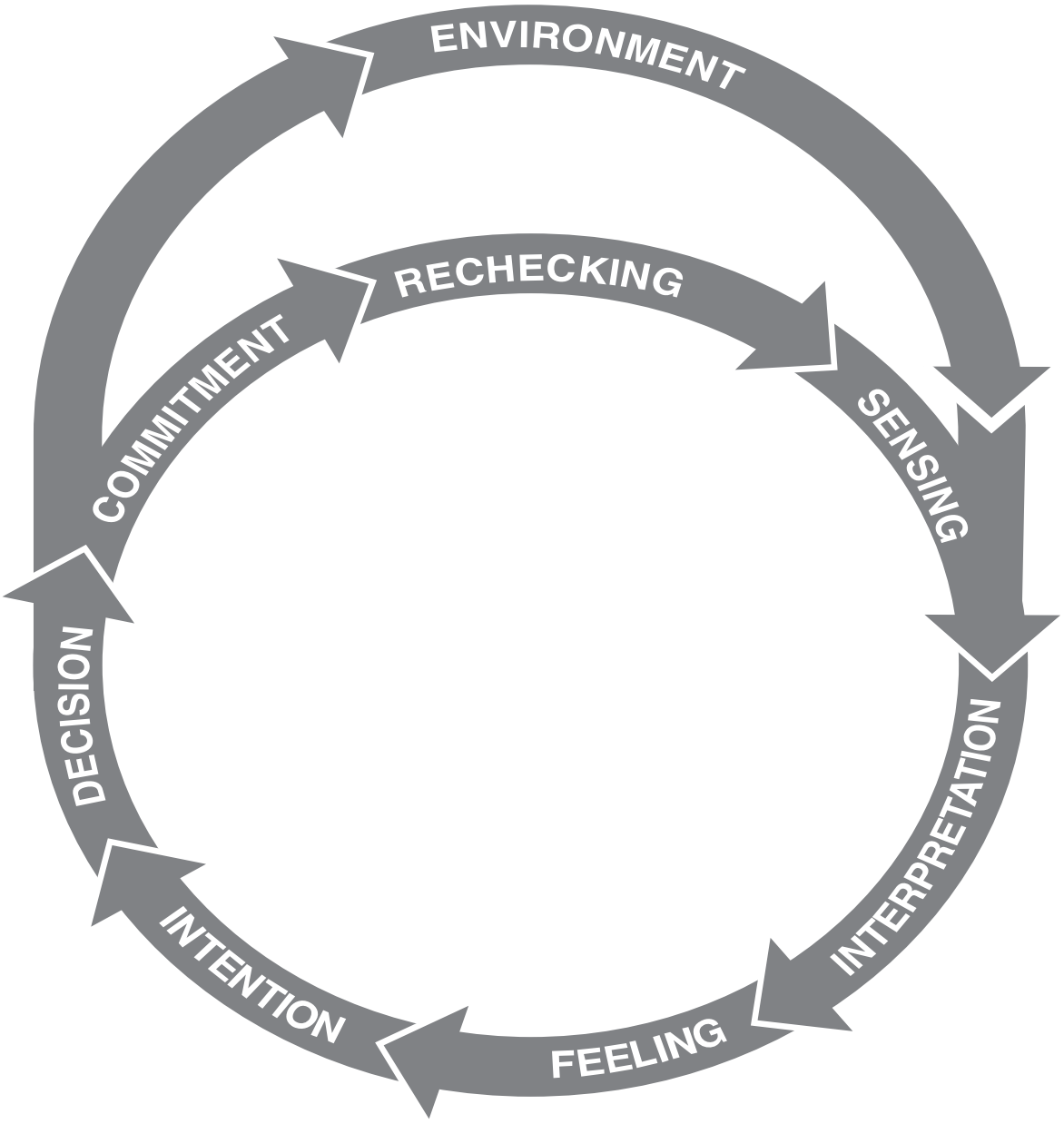
The basic decision cycle has the following stages:

Sensation. An individual's senses continually are being bombarded by external occurrences in his or her environment. Only a small portion of this information about the world actually is received—or selectively responded to—by the receptor cells of the senses and transmitted to the brain. As far as an individual is concerned, this sensory input represents the environment.

Interpretation. An individual's sensory impressions do not mirror the external world. Sensory information is processed (compared with the information already stored in the memory from prior experiences) and interpreted (given meaning). This meaning (impressions, conclusions, assumptions, etc.) is unique to each person because each person's sensory experiences are unique. Sensory experience is influenced by the individual's feelings—past and present—experiences, expectations, values, and other learned preferences. People frequently see what they want to see or hear what they expect to hear.

Feelings. Emotions, both new and remembered, play an important role in modifying what is sensed and thought. The same sensory input can be an entirely different experience when a person is very angry, excited, or depressed than it is when the person is relatively calm. Frequently, the existence and influence of strong feelings are denied or repressed because of social pressure.

Intention. Sensory input, thoughts, and feelings are followed, sometimes simultaneously, by intentions. Although these intentions represent the wishes of the individual, many of them never have any effect on the person's behavior. They simply represent desires, needs, or inferences resulting from the other processes that preceded them.



The Decision Cycle

Adapted from *Shifting Gears: Finding Security in a Changing World* by Nena O'Neill and George O'Neill. Copyright © 1974 by Nena O'Neill and George O'Neill. Reprinted with permission of the publisher, M. Evans.

The individual's sensory experiences, thoughts, feelings, and intentions represent all the information that is available to him or her for making large and small decisions. From this data more intentions are formulated, becoming internal pressures for the individual to modify his or her behavior toward bringing about more desirable circumstances.

Decision. A great number of decisions are made by the individual on an ongoing basis in response to his or her intentions. Most of these decisions are not acted on, and they pass out of consciousness. However, when the person is highly involved in particular decisions, they are converted into behavior.

Commitment. When an individual takes action on a decision, he or she has made a commitment to that decision. The results of this action generally have some impact on the environment, causing a change, however small. This change in the environment stimulates the person's senses, and the cycle continues.

This model implies that the human information system continually is feeding the decision-making process with data from three sources: senses, thoughts, and feelings. These, modified by the indiviudal's values, result in decisions. The commitment step is optional. Before making a commitment, people can recycle for more data as long as they desire.

USE OF THE MODEL

This model distinguishes between making a decision and making a commitment. This distinction suggests a useful strategy: taking action to indicate genuine commitment to a change can facilitate the processing of that change.

The model clearly identifies intention and decision making as internal processes and commitment as an external process. It suggests that an open channel be maintained to both the external and internal data for use in reassessing and revising behavior.

SOURCE

Adapted from S*hifting Gears: Finding Security in a Changing World* by Nena O'Neill and George O'Neill.

DECISION STYLES AND THE NEED FOR QUALITY AND ACCEPTANCE

Research in the area of problem solving by Norman R.F. Maier (1963) revealed two dimensions that correlate reliably with a decision's effectiveness: *quality* and *acceptance.* In Maier's formula, the effectiveness (E) of a decision is a function of the quality (Q) of the decision times the acceptance (A) of the decision, or E = f (Q x A).

The *quality* of a decision is objective; it depends on the decision maker's utilization of the known facts (external reality). *Acceptance* of the decision is subjective; it refers to how favorably those who must implement the decision react to it—how they feel about it. A high-quality decision that does not have the full support of the persons who are expected to implement it may lack the necessary support to ensure its success. Thus, decisions may be ineffective because they lack quality, acceptance, or both.

A problem arises in decision making because the methods for dealing with facts are different from those for dealing with feelings. The difference is not always apparent because feelings are often hidden behind rationalizations.

FOUR TYPES OF DESIRED OUTCOMES

Problems differ in the degree to which quality and acceptance are vital to success. Normally, and regardless of the nature of the problem, an individual or group will pay more attention either to quality or acceptance. The required degree of quality and acceptance varies with each decision. Basically, there are four types of desired outcomes.

- High quality-High acceptance
- High quality-Low acceptance
- Low quality-High acceptance
- Low quality-Low acceptance

The proportion of these two factors determines the decision style that is most likely to be effective. The following discussions show how they relate.

High Quality-High Acceptance: The Consultative Decision

A high quality-high acceptance decision might involve a manager and a work team in a problem-solving process to reorganize the work distribution and work flow. The quality is in the examination of the existing situation with a logical assessment of areas that could be improved. Although the final decision may be the manager's, all decisions are

based on facts presented by the group. Each participant has a psychological investment in the success of the new procedures, thereby enhancing acceptance. In another case, the manager might make the decision after *consulting* with individuals, but without bringing them together as a group.

High Quality-Low Acceptance: The Command Decision

An example of a high quality-low acceptance—or *command*—decision is the way in which the price is set on a product. In making the decision, management must take into account such facts as production and distribution costs, competition, marketing opportunities, and profit margin. The employees who produce the item are not really concerned with the selling price because they lack the information necessary to analyze it, and the salespeople readily accept the price that is set by the company.

Similarly, solving a mathematical equation is a high-quality, low-acceptance decision—a logical, rational, cognitive process based on fact.

In an organizational setting, when quality is a requirement but acceptance is not, the leader uses the available information and makes the decision without involving the people who will be executing it.

Low Quality-High Acceptance: The Consensus Decision

A low quality-high acceptance decision is made when quality is of minor importance but acceptance among the people affected by the decision is very important. For example, two of three employees of equal ability are required to work on Saturday. The manager may be satisfied with any of them, but it may be an important issue for the employees. In an example cited by Maier, three secretaries in such a situation were asked to decide for themselves which of the two of them would work. All had dates for the Saturday: one with her husband, one with her fiance, and one with a man she had just met. Because this date was, to the last woman, critical in the development of the relationship, the other two women decided that they would work so that she could have the day off. The acceptance dimension was met.

In another example, the allocation of a new truck to a repair crew presents a problem of perceived fairness if each member feels that he or she is most deserving. When the leader has the crew members participate in making the decision, there tends to be a redistribution of trucks so that all members stand to gain from the introduction of a new truck. Invariably the worst truck is discarded, but the actual allocation varies greatly from one crew to another. Such situations tend to be tailored to fit the values, attitudes, and personalities of the group members.

In these cases, the persons affected by the decision are brought together and the *consensus* decision evolves from shared information, ideas, and feelings. The decision must be acceptable in some degree to all group members.

Low Quality-Low Acceptance: The Convenience Decision

A low quality-low acceptance decision is made in a situation in which the choices are equal, the outcome is not really important to anyone, and so on. The manager may make the decision or the group may flip a coin to decide. The leader generally chooses whatever method is most *convenient* at the time. No special consideration is given to finding the "best" method.

INDIVIDUAL VERSUS GROUP DECISION MAKING

The problem of achieving both quality and acceptance is complex because the *quality* of a decision is related to the logic or rational process used in reaching the decision. If it is made by an individual, the quality of the decision depends on the wisdom of the decision maker (a combination of the person's knowledge and intelligence). *Acceptance* of a decision is related to the emotional factors that influence the decision-making process, such as the affected persons' being allowed to participate in the decision. Because wisdom and participation are not conditions for all decision making, it is necessary to use expertise in some situations, participation in others, and a combination of the two in others.

Decisions requiring acceptance—when quality is not seriously endangered—call for joint participation, and the problem must be stated without offending or blaming. "Tell-and-listen" or "consensus" may be the optimal method in such a case. As the need for both quality and acceptance increases, the "problem-solving" approach becomes more and more feasible. Decisions requiring a high degree of both quality and acceptance require problem-solving and consultation skills. The consultative approach is an effective way to achieve quality decisions in group situations and, at the same time, to gain acceptance through participation. Superior-subordinate problem solving applies whenever a manager wishes to influence a subordinate, gain a subordinate's acceptance of a change, set priorities, or have the subordinate accept unpleasant tasks or conditions.

When the need for quality is high and gaining acceptance is not an objective, decisions can be made successfully by individuals alone. Because such decisions need only to be communicated clearly, the "tell-and-sell" or command method is appropriate.

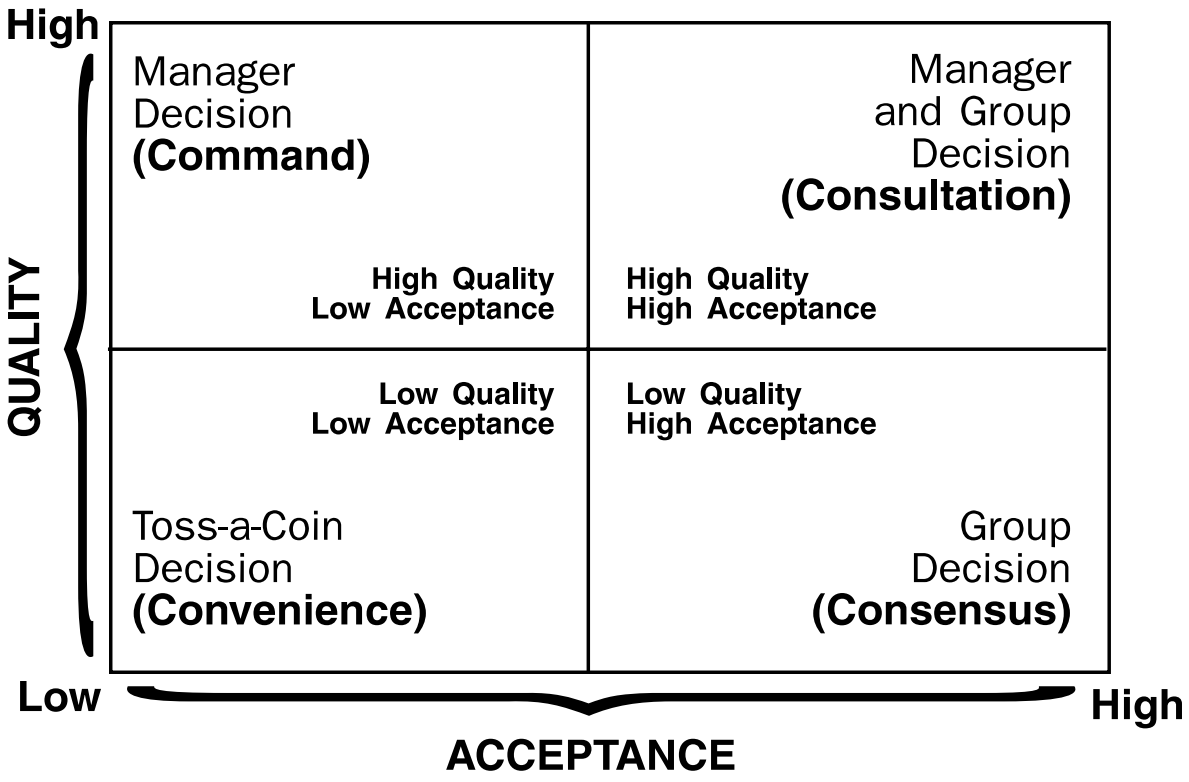
The relationships among quality, acceptance, individual decisions, and group decisions can be illustrated as shown in the figure on the next page.

This does not assume that only the two factors of quality and acceptance are to be considered by a leader in selecting a decision style. Other factors, such as time, capability of subordinates, and the level of trust in the group, must be considered as well. For example, regardless of the quality and acceptance factors, time constraints may require the use of the command model. If the level of trust in the group is low, a consensus decision may be difficult or impossible to achieve. If the trust level in the group is high, a consultative decision style may be very effective for achieving acceptable decisions of high quality.

USE OF THE MODEL

Rick Roskin (1975) suggests that the decision style one chooses should be appropriate to the type of problem being confronted. This discussion is intended to provide leaders with some guidelines that they can use in determining which decision style is likely to be most effective in a particular situation. This model has significant value in leadership, management, and supervisory programs.

The principal drawback to the decision-styles model is its implication that decision-style selection can be reduced to a formula. However, its major advantage is the suggestion that the leader need not always operate from uncertainty. It offers hope that some aspects of leadership can be subjected to scientific discipline, rather than being considered as functions of art or instinct.



Types of Decisions

Adapted from Maier, 1963.

REFERENCES

Maier, N.R.F. (1963). *Problem-solving discussions and conferences: Leadership methods and skills.* New York: McGraw-Hill.

Maier, N.R.F. (1970). *Problem solving and creativity in individuals and groups.* Belmont, CA: Brooks/Cole-Wadsworth.

SOURCES

Boshear, W.C., & Albrecht, K.G. (1977). *Understanding people: Models and concepts.* San Diego, CA: University Associates.

Maier, N.R.F. (1976). *The appraisal interview: Three basic approaches.* San Diego, CA: University Associates.

Roskin, R.R. (1975). Decision-style inventory. In J.E. Jones & J.W. Pfeiffer (Eds.), *The 1975 annual handbook for group facilitators.* San Diego, CA: University Associates.

THE DECISION TREE

Personalistic decision theory involves an evaluation of alternatives on the basis of the beliefs and expectations of the decision maker. By projecting the possible consequences of the decision and the possibilities of the alternatives in attaining his or her objectives, the decision maker determines the expected utility of a decision or choice (Brinkers, 1972).

A decision tree is a graphic representation, similar to a flow chart, of choices that can be used to help to identify alternatives or multiple choices and their possible outcomes. It provides a way to look at and explore possibilities. In form, it is roughly analogous to diagraming a sentence or constructing a mathematical equation. Both quantitative (financial or objective) and qualitative (emotional or subjective) choices can be evaluated in this manner (Jones, 1972). The figure at the end of this article is a simplified example of a decision tree that might be used in publishing at Pfeiffer & Company.

The possible decisions are represented in a branching mode, i.e., there are points at which one of two or more decisions could be selected. A solid square on the tree represents a decision point. For each possible decision there are potential positive and negative effects, or "consequences." A consequence written on the decision tree is the decision maker's best shot at describing the outcome of a particular decision situation. A "strategy" is the sequence of actions to be taken from an initial decision point through each succeeding decision point, in a linear fashion. Numerical values such as percentage probabilities, estimated costs, possible profits and losses, and so on, can be added to the decision tree, as can other factors such as people and risk.

EXPECTED UTILITY

The decision maker generally identifies preferences between consequences (outcomes) and qualitative probabilities between propositions that reflect the aspects of the situation about which the decision maker is uncertain. Numerical probabilities, called *utilities,* can be assigned to the consequences so that one consequence is preferred to a second one if, and only if, the utility of the first exceeds the utility of the second. In addition, numerical probabilities can be assigned to the propositions about which there is uncertainty, in such a way that one proposition is preferable to a second if, and only if, the numerical probability of the first exceeds the numerical probability of the second. The *expected utility* of a strategy, then, is the sum of the consequence utilities weighted by their respective probabilities of occurrence under that strategy. The consequence utilities and the probabilities can be defined in such a way that one strategy is deemed

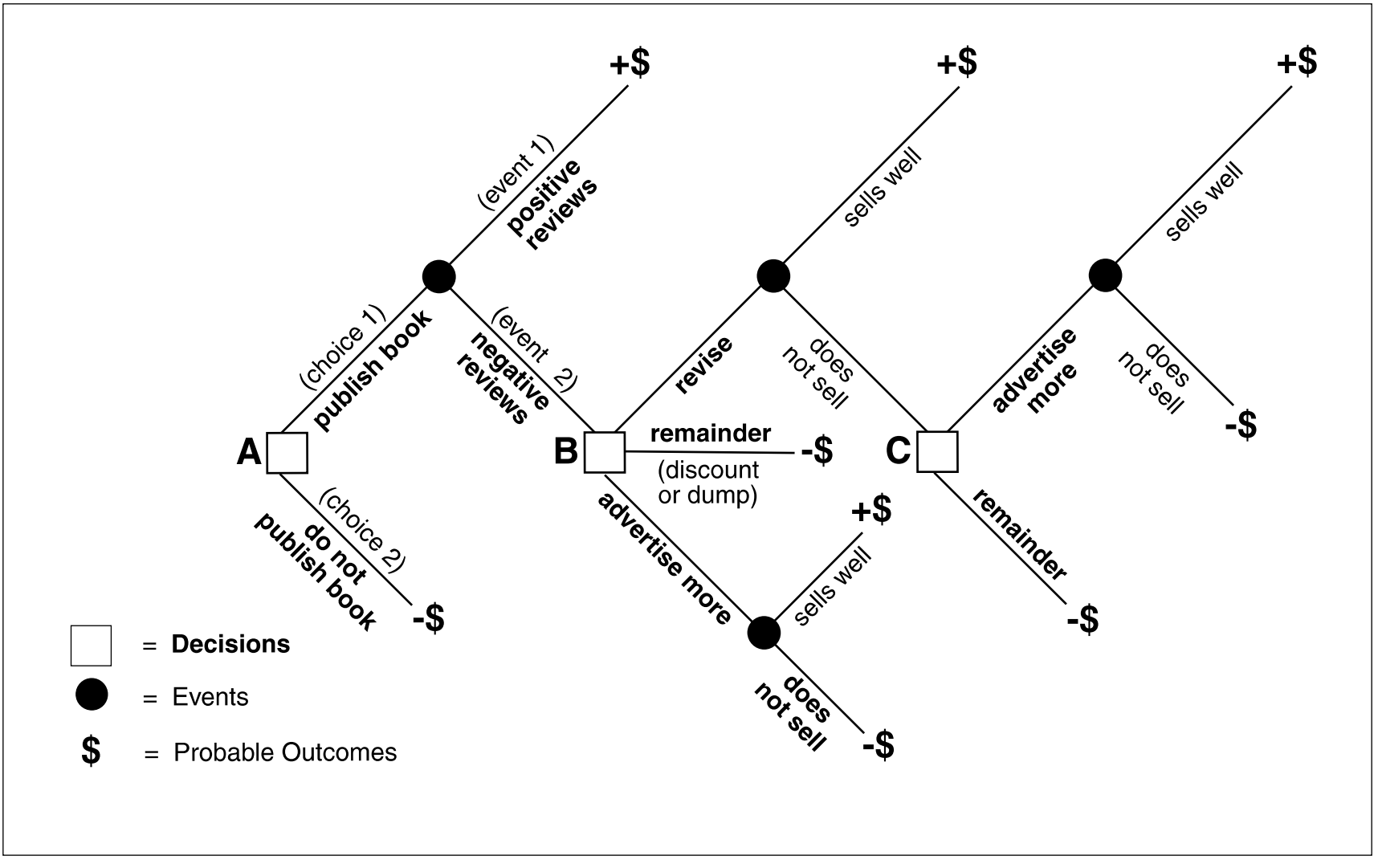
preferable to another if, and only if, the expected utility of the first is greater than the expected utility of the second (Brinkers, 1972).

This method of decision making attempts to establish a balance between the decision maker's preferences and what is known to be factual. Projections and assumptions must be made, and the ultimate analysis is only as good as the decision maker's ability to identify probabilities. However, the decision tree does provide a way to look at several proposed choices or courses of action, to evaluate the possible consequences of each, and to evaluate multiple strategies based on likely probabilities.

REFERENCES

Brinkers, H.S. (1972). *Decision making: Creativity, judgment, and systems.* Athens, OH: Ohio State University Press.

Jones, G.T. (1972). *Simulation and business decisions.* London: Penguin.



Sample Decision Tree

FORCE-FIELD ANALYSIS

Kurt Lewin (1969) borrowed a technique from the physical sciences and offered it as a way to understand problem situations in social science and to effect planned change. A problem situation exists when there is a difference between the way things are and the way someone wants them to be. The concept of force-field analysis is that any situation is the way it is in any given moment because sets of counterbalancing forces are keeping it that way.

"Force" does not refer to a physical force but to the broad range of influences in the situation or group. One way to achieve fuller understanding of the situation or group is to analyze the forces in it that work for change and those that work against change. One must change the strength of these forces in order to activate movement in the situation. For example, organizational traditions can exert strong pressures on the behavior of individuals and can keep them from experimenting with new ways. Other influences include economic factors, racial or sexual stereotypes, division of responsibilities, personality characteristics of key figures, and rivalry between individuals or groups. These can be either driving forces or restraining forces, depending on the situation and the change that is desired.

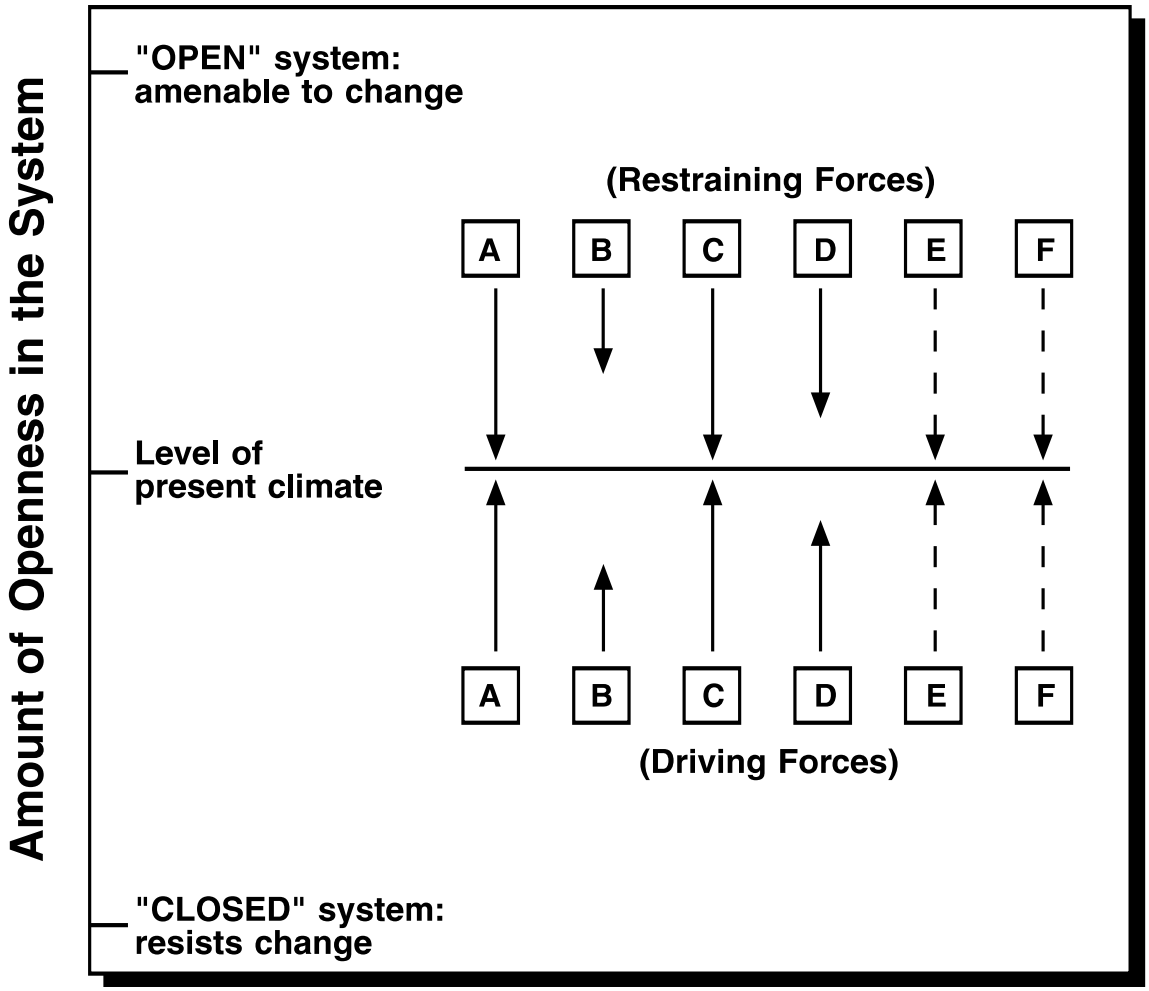
THE MODEL

The simplest representation of the model, shown on the next page, portrays *driving forces* (those that are working in the direction of change) and resisting or *restraining forces* (those that tend to support the status quo or resist change). These are arrayed against one another within a *force field.* The line of interaction between these two forces symbolizes current status. The model implies that if the desired change is not occurring, the restraining forces are collectively stronger than the driving forces. The model enables a person to analyze the various forces and to develop strategies for causing change.

ANALYZING THE SITUATION AND PLANNING CHANGE

In attempting to analyze a situation and to develop strategies for change, one can proceed according to the following steps:

Step 1. Define the target of change. Identify those things in the situation that you wish to maintain as they are and those that you wish to change. Decided whether the changes you want are improvements in current states or the elimination of current states. Specify the change desired in concrete, measurable terms. Clarify the current state and the direction and amount of change desired.



The Force Field

Example:

Current state: Two members of the group do most of the talking; the other five group members usually remain silent.

Direction of change: Decrease the amount of talking by the two group members and increase the amount of talking by the other five.

Amount of change: Perception by the group members that a change is occurring.

Step 2. Outline forces driving toward and restraining change. Once the change target has been defined, the forces that are working for (driving) the change and those that are working against or restraining it should be outlined. One procedure is to list all the factors (forces) that might influence the situation or affect the change target.

Step 3. Identify which are driving forces and which are restraining forces.
Example:

- Change target: More equal participation in the group.
- Driving forces:
- Desire of silent group members to say more.
- Resentment by silent members of talkative ones.
- Desire of talkative group members to listen more effectively.
- Guilt feelings of talkative group members.
- Frustration felt by silent group members.
- Commitment to change.

Restraining forces:

- Ease with which talkative members find things to say and say them.
- Ease with which silent members remain silent.
- Habit.
- Lack of commitment to change.

Step 4. Analyze forces that can be changed. Once the change target has been clarified and the driving and restraining forces have been listed, it is useful to consider which forces are more or less amenable to change. Change may occur by means of two processes: (a) increasing the strength of current driving forces or adding new driving forces, and (b) reducing the strength of restraining forces or eliminating them. Sometimes the strengthening or addition of driving forces is ineffective because it arouses new resisting forces that effectively counter the driving forces. The reduction of resisting forces often is effective because it allows the driving forces already present to have more effect. Of course, a combination of both processes also can be effective. Another way to deal with a restraining force is to convert it to a driving force. For example, if an individual who opposes a change can discover that it offers significant

benefits to him and that he may have overestimated its negative impacts, he may change from an opponent to a supporter.

THE VALUE OF THE MODEL

This model is one of the most useful problem-solving techniques. It offers a way to analyze the forces one by one and to identify individual strategies for dealing with each. It clarifies concepts that people have been trying to deal with on an unconscious level. Specifically, it helps people to realize what the resistance to change might be on an individual, group, or system-wide level—something that does not always occur in the natural course of decision making and problem solving. In a personal-growth setting, the model becomes a powerful tool for self-insight. An individual can ask, "What am I doing to keep myself the way I am?" It also provides a vehicle for group problem solving. Finally, it is used frequently in organization development not only to analyze and plan change but also to communicate with upper management in the initial phase of gaining their commitment to the concept of change.

REFERENCE

Lewin, K. (1969). Quasi-stationary social equilibria and the problem of permanent changes. In W.G. Bennis, K.D. Benne, & R. Chin (Eds.), *The planning of change.* New York: Holt, Rinehart and Winston.

SOURCES

Boshear, W.C., & Albrecht, K.G. (1977). *Understanding people: Models and concepts.* San Diego, CA: University Associates.

Spier, M.S. (1973). Kurt Lewin's "force field analysis." In J.E. Jones & J.W. Pfeiffer (Eds.), *The 1973 annual handbook for group facilitators.* San Diego, CA: University Associates.

THE HELPING RELATIONSHIP

Gerard Egan (1975a, 1975b) designed the Helping Relationship model to increase the effectiveness and reliability of helping. He describes a repertoire of helping skills, structuring the helping process into progressive, interdependent stages.

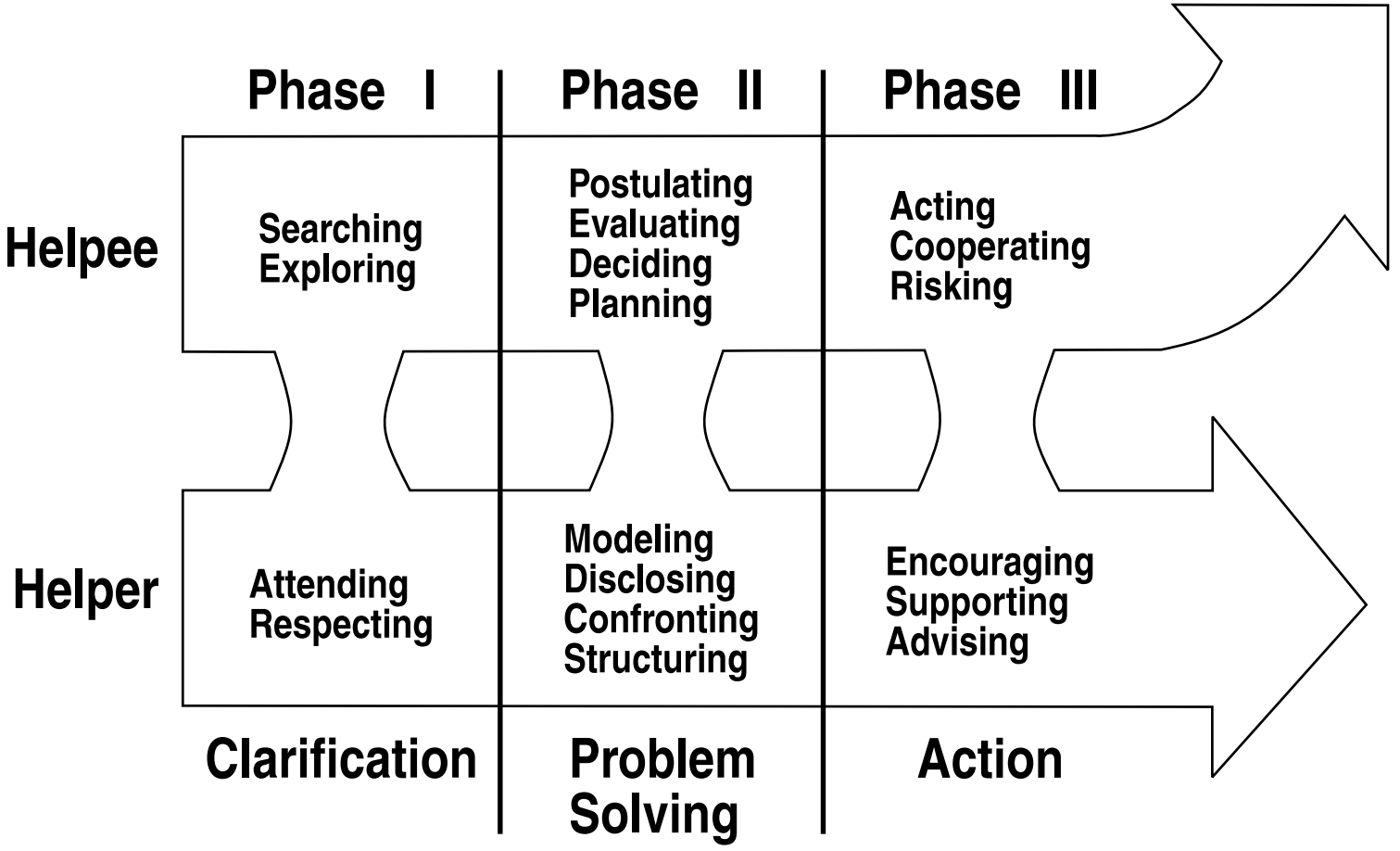
The helping relationship is a special form of temporary interaction between the helper and the helpee, with constructive behavioral change as a primary goal. The helpee is a person who is experiencing difficulty with a life situation and its associated problems because he or she lacks certain skills of adaptation, coping, or problem solving. The helper is a person who has achieved an acceptable level of personal adjustment, has the skills the helpee lacks, and is able to help the helpee to learn those skills.

A departure from traditional approaches to helping, the model places joint responsibility on the helper and helpee. The helpee, not the helper, is the principal protagonist in a search for the tools of adjustment. The helpee's task is to come to terms with his or her life, its problems, and his or her behavioral patterns, and to develop the necessary skills to manage his or her life.

A self-defeating symbiotic relationship can result when one person tries to help another. In such a situation, the helpee looks to the helper for the solution to his or her problems, forming a dependent or manipulative attachment. The helpee may assign general responsibility for improvement to the helper. The helper, on the other hand, may be tempted to assume responsibility and authority for the helpee. This assumption discounts the helpee's sovereign right and responsibility to manage his or her own life. Furthermore, it works against the kind of learning the helpee must achieve in order to successfully terminate the helping relationship. To avoid developing a symbiotic relationship at the outset, the helper must possess certain interpersonal skills for managing the course of the transaction.

ATTENDING

A skill of overriding importance, *attending* refers to the helper's ability to be physically and psychologically "with" the helpee. The helper must be attentive to the helpee's verbal and nonverbal messages and sensitively communicate the fact that he or she is listening. Attending does not require that the helper intervene in any way in the helpee's thought processes. Initially what the helpee needs is acceptance, empathy, and understanding. If the helper yields to the temptation to step in and rescue the helpee from difficulties, the helper is offering to engage in a parent-child relationship that may retard the helpee's progress. The figure shows the three general phases of the helping relationship, from its inception to its successful—and voluntary—termination.



The Helping Relationship

Adapted from Egan, 1975.

THE THREE PHASES

The following defines the nature of the helping relationship and the activities undertaken by the two participants for each of the three phases.

Clarification

During the first phase of *clarification*, the helper supports the helpee in his or her attempts to focus on "what is wrong." In most instances of maladjustment, the beleaguered person is unable to state, in simple, operational terms, what is wrong. Once this has been achieved, the person usually is well on his or her way toward recovering from the stated difficulties. During this phase, the helper needs to be available, willing to work on the problem, and able to respond. The helper must understand what the helpee is saying and must be able to communicate that understanding. This is sometimes referred to as accurate empathy—the ability to see the problem from the helpee's frame of reference, undistorted by the helper's own values, opinions, or biases. It is vital that the helper demonstrate respect for the helpee, that the helpee is seen as worthwhile. Finally, the helper must view the clarification phase as the establishment of a firm foundation for the following phases. The helper must help the helpee to explore the problem and to define in language that the helpee can understand, the thoughts, feelings, and situations that contribute to the problem.

Problem Solving

During the second phase, *problem solving*, the helper lends his or her own experiences to the helpee as a framework for finding solutions. The helper offers models of personal adjustment for the helpee to use in assessing his or her own coping strategies. The helper brings into play interpersonal skills, such as nondirective listening, clarification, paraphrasing, limited advising, and direct assistance, to assist the helpee in planning feasible courses of action to solve the problem. In this phase, the helper must guard against inventing. The helper is useful only to the extent that he or she is accurate in hearing, interpreting, and organizing. The helper must not allow his or her own values or biases to override his or her perceptions of the problem and of solutions that may work for the helpee.

As the helper responds to the helpee's disclosures and behavior during this phase, the helpee will need to learn the skills of nondefensive listening. Many of the disclosures may be painful and difficult for the helpee to accept. Through the trust and support offered by the helper, the helpee can learn to listen more objectively and completely to the helper's feelings, impressions, and responses. It is not enough for the helpee to understand himself or herself abstractly; he or she must understand his or her behavior concretely in terms of its destructive consequences and the need for change.

Action

During the third phase of *action*, the helper participates with the helpee in making plans and carrying them out. The helpee will need full attention, respect, and support from the helper in order to be able to change his or her behavior toward more constructive and self-fulfilling patterns. The helper should extend himself or herself in any reasonable and human way to help the helpee act on his or her new plans. The helpee must learn to cooperate, involving himself or herself fully with the helper's efforts to facilitate the helpee's new behavior. The helpee must accept the need to take personal risks and to practice risk taking, increasing the risk in reasonable steps toward his or her new behavioral objectives. Above all, in this phase, the helpee must begin to act. He or she must practice the skills he or she is learning, continuing them beyond the helping relationship, to build a fuller and more effective life.

If it will benefit the helpee, the helper should be willing and able to share his or her own personal experiences and feelings. Through self-disclosure, the helper can establish an immediacy with the helpee, exploring the here-and-now of the helping relationship. In that supportive context, the helpee can become more aware of his or her own feelings and behavior. When the helpee experiences difficulty in facing crucial issues, the helper should help the person to confront those issues in a constructive way. If the helper gives a different perspective to dysfunctional behavior, he or she can lead the helpee to more accurate and effective ways of viewing his or her assumptions and behavior.

VALUE OF THE MODEL

The Helping Relationship model bridges a large gap in the study of the helping professions. It suggests for the facilitator, the counselor, the teacher, and others in the helping professions some specific skills and strategies for achieving their goals. Although the model is presented in the context of a dyadic relationship, the skills involved are essential to people who are attempting to help in a group, classroom, or other more structured situations. The model specifies learning goals for the helper and clearly defines the learning he or she must facilitate in the helping situation.

People with problems usually feel confused and anxious because of their lack of ability to understand and control the problems confronting them. The Helping Relationships model can be shared with the helpee so that he or she can see some organization, structure, and meaning to the helping process.

REFERENCES

Egan, G. (1975a). *Exercises in helping skills: A training manual to accompany the skilled helper.* Monterey, CA: Brooks/Cole.

Egan, G. (1975b). *The skilled helper: A model for systematic helping and interpersonal relating.* Monterey, CA: Brooks/Cole.

SOURCE

Boshear, W.C., & Albrecht, K.G. (1977). *Understanding people: Models and concepts.* San Diego, CA: University Associates.

LATERAL THINKING

BRAIN FUNCTIONING

The concept of lateral thinking was originated by Edward De Bono (1967, 1968, 1972, 1986). It offers alternatives to conventional cognitive processes. De Bono described the brain as (a) a self-organizing system and (b) a self-maximizing system.

Self-Organization

The first feature, self-organization, is the pronounced tendency of the brain to make sense out of the data provided to it by the sense organs. The brain seems to store information largely in patterns. Each bit of information entering the brain becomes a part of one or more patterns already stored in the brain. This means that an attempt to think about one isolated idea or image will bring with it a large amount of associated information. The more fully developed a cognitive pattern is, the more it tends to dominate thinking processes.

Self-Maximization

The second feature of brain functioning, self-maximization, operates to *confirm* certain patterns as information continues to flow into the brain. Once a pattern has developed, it begins to dominate not only the thinking processes, but the perceptual processes as well. The brain begins to *select* for recognition certain information that is compatible with the established patterns.

The effect of these two features of the brain's functioning is to create habits of thought that become entrenched. Although a great number of these patterns are convenient and beneficial to the individual (e.g., control of routine mechanical functions and interpretation of standard signals), many others are self-defeating and dysfunctional. Certain patterns, which may be likened to beaten paths within the brain, tend to imprison the individual, binding the person to a narrow range of options for dealing with his or her experiences.

VERTICAL THINKING

The term *vertical thinking* describes the habitual style of thinking that is dominated by the brain patterns. Vertical thinking is logical and linear, e.g., if . . ., then . . ., or "cause and effect." It operates by establishing and following natural pathways, which link ideas together in ways that are consistent with the stored patterns. Vertical thinking is characterized by a logical analysis with one step or premise following another and

building to a conclusion or solution. This may be described as “straight-line” or “analytical” thinking.

Vertical thinkers take the most reasonable view of the situation and then proceed logically and carefully to work it out. They tend to assume that there is only one correct answer to the problem, and the approach used to solve it involves the use of mathematics, a model, a matrix, a decision tree, or some other deductive-reasoning processes.

LATERAL THINKING

De Bono believed that there are two general approaches to problem solving. The second approach is “lateral thinking” or “creative problem solving,” in which all the things that relate to the problem are considered. The term *lateral thinking* describes a deliberate, conscious strategy for interrupting linear chains of thought. It does not destroy patterns, nor does it operate without patterns. Instead lateral thinking facilitates *transitions* between patterns, thereby widening the range of patterns available for dealing with a particular problem. Lateral thinking also is a strategy for creating new patterns that may be useful.

Lateral thinkers tend to explore all the different ways of looking at something, rather than accepting the most promising and proceeding from that. Lateral thinking is typified by the process of brainstorming, in which all solutions are considered, no matter how far-fetched they may seem at first glance. Lateral thinking requires the ability to draw on experience, break down the problem in various ways, try out solutions, recombine ideas with other ideas, and use one’s imagination.

Techniques

Associated with the strategy for lateral thinking are a number of specific techniques for putting it into operation. These include:

- *Free association:* random association of ideas to discover relationships that previously were not known or appreciated; e.g., apple and computer.
- *Reversal:* negation or inversion of a central idea or its implications to provide new perspectives; e.g., have the rabbit pull the magician out of the hat.
- *Distortion:* exaggeration of specific features of known situations to provide new approaches or to clarify the influences of those features; e.g., make the bridge one hundred miles long.
- *Literalizing:* association of an abstract, figurative word or phrase with its literal meaning—taking it at its “verbal face value”; e.g., design a clock that *tells* time by means of a recorded message.

- *Factoring:* dissolution of inhibiting patterns by breaking them down into their component parts for repatterning; e.g., determining the smallest step involved in writing a book.

All these methods for rearranging the elements of the problem and for developing new points of entry result in a wider range of alternatives available for consideration.

The vertical thinking process depends on sequential decisions, *all of which* must be correct for a useful result. Once we have become imprisoned in the vertical-thinking approach to a problem, we are not free to experiment with our thought processes. On the other hand, lateral thinking permits us to *abandon* the unsuccessful cognitive path. Although the jump may not be successful immediately, at the very least it frees our brains from the tyranny of the unsuccessful pattern.

Vertical thinking seems to be the primary mode of conscious thought in Western culture. De Bono's work represents lateral thinking as an appropriate adjunct to vertical thinking, not as a substitute for it. Lateral thinking as a strategy appears to be highly effective in improving application of the vertical processes. It capitalizes on known characteristics of the brain's methods of processing information.

In some cases, vertical thinking may be best and lateral thinking may indicate dishonesty. In other cases (e.g., see "The Pebble Story," De Bono, 1968), vertical thinking may fail to produce a solution and lateral thinking may be the best approach. There usually are several acceptable answers to problems that require a creative or lateral approach.

De Bono implies that creativity may not be strictly a gift or genetic endowment; it is a strategic possibility available to everyone. Creative thinking is a teachable skill, reducible to methods and techniques that individuals can learn, practice, and apply to practical problems.

REFERENCES

De Bono, E. (1967). *The five-day course in thinking.* New York: Basic Books.

De Bono, E. (1968). *New think: The use of lateral thinking in the generation of new ideas.* New York: Basic Books.

De Bono, E. (1972). *Lateral thinking: Creativity step by step.* New York: Harper & Row.

De Bono, E. (1986). *Six thinking hats: An essential approach to business management from the creator of lateral thinking.* Boston, MA: Little, Brown.

SOURCE

Boshear, W.C., & Albrecht, K.G. (1977). *Understanding people: Models and concepts.* San Diego, CA: University Associates.

	VERTICAL THINKING	LATERAL THINKING
BASIC NATURE	Analytical Sequential Logical	Provocative Nonsequential Nonlogical
PROCESS	Selective Converges toward acceptable solutions Use of negatives blocks certain paths Follows most likely path	Generative Seeks additional options Does not have to be correct to proceed Explores unlikely paths
USE OF PATTERNS	Retains labels, names, categories, and classifications from past experience	Attempts to escape from established patterns, labels, and classifications
RESULTS	Finite Predictable	Probabilistic Unpredictable

Comparison of Vertical and Lateral Thinking

LOGICAL STEPS IN PROBLEM SOLVING

The use of logical steps in problem solving quickly improves the quality and efficiency of any group discussion. Although the actual steps can be described in various ways, most formulas are founded on a traditional, scientific method that includes the following stages:

- Define the problem;
- Collect data about the problem;
- Create an hypothesis about the cause of the problem or how the problem can be solved; and
- Test the hypothesis by means of an experiment.

Some flexible plan that utilizes logical steps in problem solving is part of the preparation. A synthesis of the most effective method, created by Hedley Dimock (1987), is presented on the next page.

USE OF THE METHOD

The greatest advantage of using Dimock's suggested steps for problem solving is that it requires that groups separate the *suggesting* of solutions from *discussion* of them, thus eliminating a step during which many groups get stuck. It is only natural that when one member suggests a solution, other members will reply with an opinion about the suggestion. This stopping and starting slows down the meeting, makes it difficult for all possible solutions to be stated, and tends to put the person who suggested the solution on the defensive. It does not allow for the various solutions to be compared with one another and to rise or fall on their own merits.

By arguing over suggestions, groups may rob themselves of the opportunity to hear additional ones. Furthermore, people who are shy or people who think that they must be on the defensive against nay-sayers may be reluctant to make suggestions at all. Focused "suggestion sessions," using methods such as brainstorming, help to eliminate unwanted group discussion.

The technique of brainstorming utilizes the logical steps in problem solving by clearly separating the suggestion of solutions from the discussion of their value. The basic rule in brainstorming is that no one can comment on or in any way belittle the suggestion of another member. The only response to another's suggestion that is allowed is building on it with another idea. This tends to increase the number and variety of suggested solutions, as the threat of having an idea "shot down" by the group is reduced. Much of the value of brainstorming can be achieved by separating step four (the

Problem-Solving Steps	Useful Member Roles	Blocks	Possible Methods
1. Defining the problem	Orienting Clarifying Defining problem	Ambiguity Different perceptions Generalizations	Problem census Small groups Needs analysis
2. Checking involvement	Testing Supporting Revealing interest	Silence "Yessing"	Going around the group Ranking priorities
3. Collecting information and diagnosis	Giving information Orienting Summarizing	Moving to next step Stepping too quickly Lack of focus	Force-field analysis Advance preparation Data collection
4. Suggesting solutions	Seeking opinions Giving opinions Coordinating	Starting to evaluate ideas Limited participation Minority not heard	Brainstorming Small groups
5. Evaluating alternatives	Giving opinions Testing feasibility Mediating-harmonizing Coordinating	Emotional distortions Conflicts Steamrolling Majority voting Loss of focus	Guided discussion Going around Force-field analysis Role playing Risk technique
6. Decision making and gaining commitment	Giving opinions Coordinating Mediating-harmonizing Testing for consensus	Majority voting Polarizing Going along with group (no commitment)	Risk technique Provisional try Total-group discussion Protecting minority opinions
7. Planning implementation	Giving information Testing feasibility Initiating	Lack of involvement Generalizations Vague responsibility	Implementation teams Small groups Committees
8. Evaluating/ replanning	Coordinating Giving opinions Giving information	Expectation not clear Implementation Mechanics not clear	Work groups Committee reports Data collection

Logical Steps in Problem Solving

suggesting of solutions) from step five (the discussion and testing of solutions) in the regular use of logical steps in problem solving.

It is likely that the discussion leader will have to focus considerable attention on keeping these two steps separate in the discussion. This can best be accomplished by getting the group members to agree to use such an approach before they start and by training the group in the use of this approach during the meeting. The leader may point out deviation from the agreed-on procedures and encourage others to take responsibility to see that the problem-solving steps are followed in order.

SOURCE

Dimock, H. (1987). *Groups: Leadership and group development.* San Diego, CA: University Associates.

MANAGERIAL DECISION MAKING

Victor H. Vroom (1973) views all managers as decision makers. The managerial task, according to Vroom, focuses on the social process of determining how problems should be solved rather than on finding solutions. Questions concerning what decision-making processes managers *should use*, what processes managers *do use*, what considerations affect managerial decisions, and how much decision-making authority should be shared with subordinates, motivated Vroom to seek answers and to formulate a model of managerial decision making.

Vroom believes that the effectiveness of managerial decisions is influenced by three situational factors, *the required quality of outcome, the acceptance or commitment required from group members for effective implementation,* and the *time allotted to reach a decision.* Quality refers to the extent to which a decision impacts organizational performance; acceptance refers to the willingness of employees to implement decisions; and time refers to urgency. Vroom noted that managers make decisions *autocratically*, *consultatively*, and *by group participation.* Any particular style may be effective in one situation and not in another.

Vroom argues that the effectiveness of a managerial decision depends on the manager's ability to adjust his or her decision-making style in accordance with the requirements of the situation. The decision styles and their behavioral characteristics are shown below.

Style	Typical Behavior
AI	Decision maker solves the problem alone using only the information available at the time.
AII	Decision maker acquires all essential information from group members singly and makes decision alone. The role of group members is to provide information only; evaluations or alternative solutions are neither solicited nor accepted. Group members may or may not be given information about the nature of the problem.
CI	Decision maker shares the problem and gathers ideas from knowledgeable group members singly without bringing them together as a group. Decision maker makes a decision that may or may not incorporate the suggestions of group members.
CII	Decision maker shares the problem with group members as a group to obtain composite information. Decision maker makes a decision that may or may not incorporate group suggestions.
G	Decision maker shares the problem with group members. In group, alternative solutions are generated and evaluated in an attempt to achieve consensus. Decision maker functions as a facilitator without attempting to influence the group. Decision maker adopts and implements the consensus decision.

Managerial Decision Styles

Adapted from V.H. Vroom, "A New Look at Managerial Decision Making." *Organizational Dynamics*, Spring 1973, pp. 66-80. Used with permission.

"A" refers to autocratic styles, "C" refers to consultative styles, and "G" refers to group styles. The roman numeral following A, C, or G represents the behavioral variation within the autocratic, consultative, or group style.

DECISION RULES

Effective managerial decision making, then, is a cognitive process in which situations are assessed and subsequently matched with the appropriate decision-making style. Vroom has formulated seven rules that take into consideration the required quality and acceptance of a decision, for use in decision-making processes. Three of the rules safeguard decision quality, and four of the rules safeguard decision acceptance.

1. ***The Rule of Information.*** If quality is important, and the decision maker lacks the information or expertise to decide alone, then style AI should not be used. AI in this situation would likely result in a low-quality decision.
2. ***The Rule of Goal Congruence.*** If quality is important, and group members (subordinates) do not support the outcome to be derived from the decision, then style G should not be used. Style G in this situation will cancel managerial control and potentially result in lack of quality.
3. ***The Rule of Unstructured Problems.*** If quality is important, the decision maker lacks the information or expertise to decide alone, and the decision maker does not know what information is required (i.e., unstructured), then decision making must involve an interaction with those who have relevant knowledge or expertise. Styles AI, AII, and CI should not be used. Style AI does not allow for gathering information; styles AII and CI are less effective because they do not allow the interaction of those with needed knowledge and expertise.
4. ***The Rule of Acceptance.*** If acceptance is critical, and the decision maker is not sure if an autocratic decision will be accepted, then styles AI and AII should not be used. AI and AII do not allow for participation; they risk nonacceptance by some group members.
5. ***The Rule of Conflict.*** If acceptance is critical, and there is probable conflict or disagreement over the decision, then styles AI, AII, and CI should not be used. The decision should permit those in disagreement or conflict to interact and resolve their differences. Styles AI, AII, and CI are one-on-one interactions and risk nonacceptance by some group members.
6. ***The Rule of Fairness.*** If quality is important, and acceptance is critical and not likely to result from an autocratic decision, then styles AI, AII, CI, and CII should not be used. Style G is the best option because all others risk potential nonacceptance by a few.
7. ***The Rule of Acceptance Priority.*** If acceptance is critical, and group members can be trusted to pursue organizational goals, then styles AI, AII, CI, and CII should not be used. Style G provides the greatest potential for equal participation

in the decision and maximizes the likelihood of full acceptance by all group members without risking quality. All other decision styles risk lack of full acceptance.

Applying these rules to any decision situation results in what Vroom calls a *feasible set* of decision styles, that is, a group of style alternatives that may be effective in the given situation. For example, the rule of information contends that when decision quality is important and the decision maker lacks information or expertise to make a decision, alternative AI should be eliminated. Once alternative AI has been eliminated, a feasible set consisting of AII, CI, CII, and G remains. Vroom suggests that when a feasible set of more than one alternative exists, the alternative that expends the least amount of time should be used. In the example of the information rule, alternative AII requires less time investment and should be chosen.

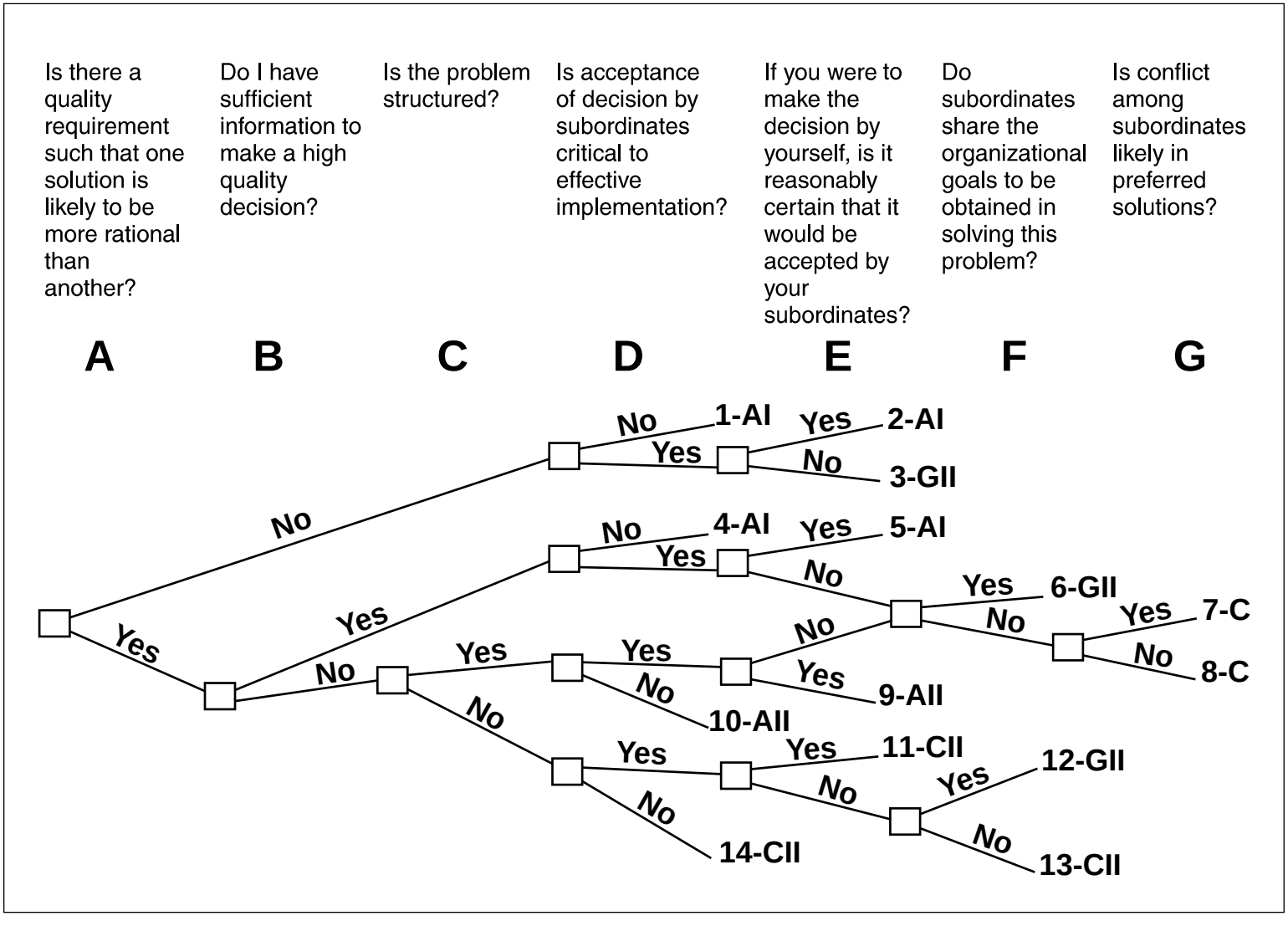
THE DECISION TREE

The next figure illustrates Vroom's formulations as a decision tree that incorporates the seven decision rules into a logical yes/no framework. Using the decision tree enables a manager to quickly and accurately diagnose any decision situation by simply answering the seven questions across the top of the tree.

The use of Vroom's decision tree encourages managers to carefully consider the factors of quality, acceptance, and time in a decision situation. However, as structured, Vroom's rules for decision making do not consider the long-term consequences of decision-making processes. Vroom acknowledges that, in the short term, the decision derived from the seven rules may be effective, but, in the long run, may not allow for employee growth and development.

REFERENCE

Vroom, V.H. (1973, Spring). A new look at managerial decision making. *Organizational Dynamics*, pp. 66-80.



Vroom's Decision Tree

PERCEPTUAL BLOCKS

According to James L. Adams (1979, p. 13), perceptual blocks are "obstacles that prevent the problem-solver from clearly perceiving either the problem itself or the information needed to solve the problem." Adams identifies six perceptual blocks that inhibit both our perception of a problem and our creativity when attempting to solve the problem.

STEREOTYPING

People tend to label things: professions, clothing, objects, even other people. Stereotyping can be a perceptual block because a label produces a limited and limiting vision of whatever is being labeled. The reason that stereotyping is so easy to do and so prevalent is that it is an important part of the mind's memory system. When the mind receives new information, it "weeds out" and discards what it judges to be less important. The information retained is classified and stored according to how well it fits with previously existing information. Thus, the mind stereotypes and labels new stimuli in order to "make them fit."

This structuring, although an essential part of the memory's method of sorting and filing data, can hinder the creative process. Once we have labeled something or someone, it can be very difficult to look at that object or person in a new way. If we look at a filing cabinet and all we see is an object for storing paperwork, it will be hard to think creatively of other uses. If we look at a young woman in a dress and all we see is a delicate, helpless creature, it will be difficult for us to accept her desire to become a world-class athlete.

We also use stereotyping in a way that is often overlooked. Not only do we label others, we label ourselves as well. Most people know of several things they "cannot do" or "cannot do well." We also think of ourselves in stereotypes: good father/mother/spouse/friend, conservative business person, avant-garde artist, etc. The bottom line is: if we think of ourselves in terms of limits, categories, and failings, we will naturally regard the rest of the world in a similar fashion. Creativity cannot emerge from behind a wall of perceptual blocks.

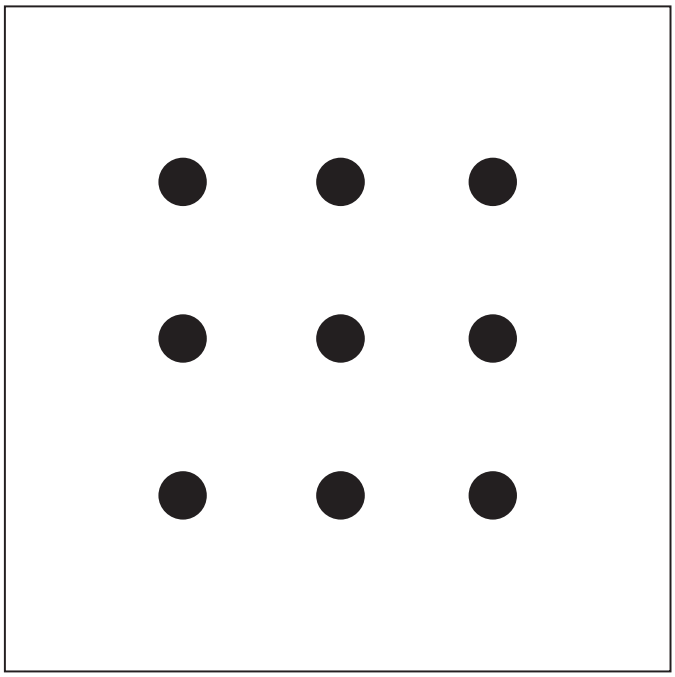
DIFFICULTY IN ISOLATING THE PROBLEM

In order to solve a problem, the problem first must be correctly isolated and identified. It is easy to become misled or misinformed when seeking to identify a problem. Adams gives the example of the designers of a tomato picker, who were having a terrible time trying to design a device that would not damage the tomatoes. The problem, as it turned

out, was not the device at all: it was the tomatoes, whose skins were too delicate for the pickers. The solution: develop new varieties of tomatoes with thicker, tougher skins. It is easy, especially if one has been *told* that a certain thing is causing a problem, to focus only on that thing and to overlook the other variables and circumstances surrounding the problem. The true cause of the problem, as in the case of the tomatoes, often is not where one has looked in the first place.

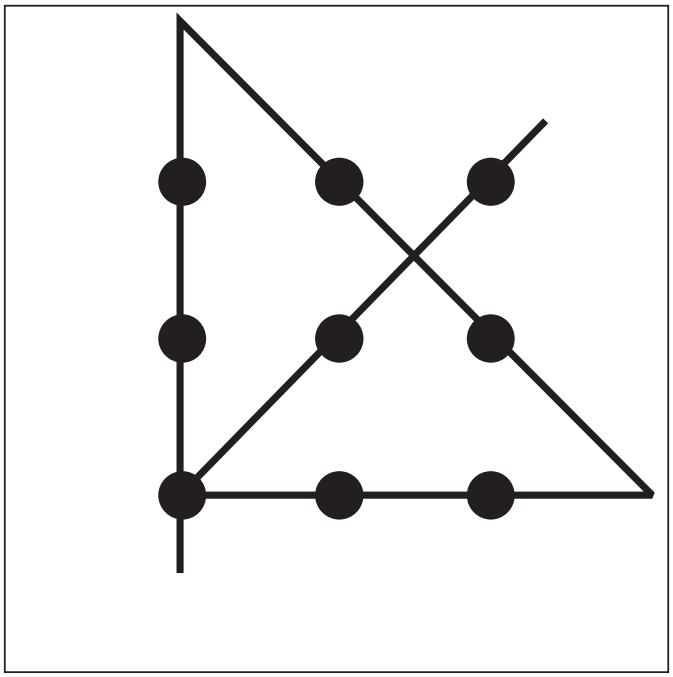
PUTTING LIMITS ON THE PROBLEM AND ON ONE'S THINKING

Putting limits may, at first, seem to be the opposite of isolating the problem, but although it is necessary to pinpoint the exact *problem,* it is not a good idea to limit the possible *solutions.* A classic example is the "Nine-Dots Problem." The instructions are simple: draw no more than four straight lines through the nine dots (below), without lifting the pencil from the paper.



What many people do not realize, of course, is that they are not required to stay within the boundaries of the nine dots; yet most people impose this restriction on themselves. This problem, which with such restrictions is very difficult, is quite simple to solve if one permits oneself to "go outside the nine dots" (see figure on the next page).

In other words, it is beneficial to think in the broadest terms possible when attempting to solve a problem. An excellent example of a problem with the possibility for broad thinking can be found in the San Diego, California, area. A measure has been passed that requires employers to provide flexible hours and other incentives to encourage employees to carpool to and from work. The measure is designed to help



the San Diego area to deal with its freeway-congestion problem. Although it may prove somewhat helpful, the measure is limited in its assessment of the problem. It deals only with the number of cars on the area's freeways. This assumes that all travel must take place in automobiles. It does not address the question of mass-transit systems. Moreover, it presents as a solution only the idea of persuading people to carpool. It does not, for example, require employers to allow appropriate employees to telecommute—work at home and communicate with the office via modem, FAX, or telephone. A broad-minded thinker must go beyond the "given" in a situation—here, that people commute to work by car.

NEED TO EXAMINE A PROBLEM FROM VARIOUS PERSPECTIVES

Most of us have been told, at one time or another, "But you just do not understand my point of view!" Unfortunately, this often is true. Problem solvers must be able to divorce themselves from their opinions and look at a problem from another party's viewpoint. When one considers how many people may be affected by a particular solution, this becomes a difficult proposal indeed.

For example: the local roads commission has proposed that the traffic congestion on Elm Street be eased by widening the road several feet on each side, enough to add two lanes. Some people (those who commute through Elm Street) probably will be very happy to hear this proposal, as they do not like being stuck in the traffic on Elm Street. Owners of businesses located along Elm Street also will be pleased, as more people now will be able to reach their stores with less hassle. Perhaps the city in which Elm Street is located also will encourage the measure, because it will increase tax revenue. However, homeowners whose houses are located on Elm Street may not be pleased that their yards

will diminish in size, that their street may become a busy, noisy thoroughfare, and that their properties may, therefore, decrease in value. Parents will be fearful of traffic accidents involving their children and fast-moving vehicles. Obviously, all these viewpoints must be considered before any solution is adopted and carried out.

SATURATION

Because the human mind receives far too much input to process and remember, many "ordinary" or "unimportant" stimuli are not stored and are thereby not retrievable. For example, many persons cannot remember the colors in the bathrooms at their offices. They would be unable to recall the exact configuration of the buttons and dials on their television sets. Such data do not need to be remembered, because we see and use them so frequently.

There are times, however, when it becomes necessary to notice and remember details that the brain has labeled as extraneous. Such data could provide keys to identifying a problem or finding a solution.

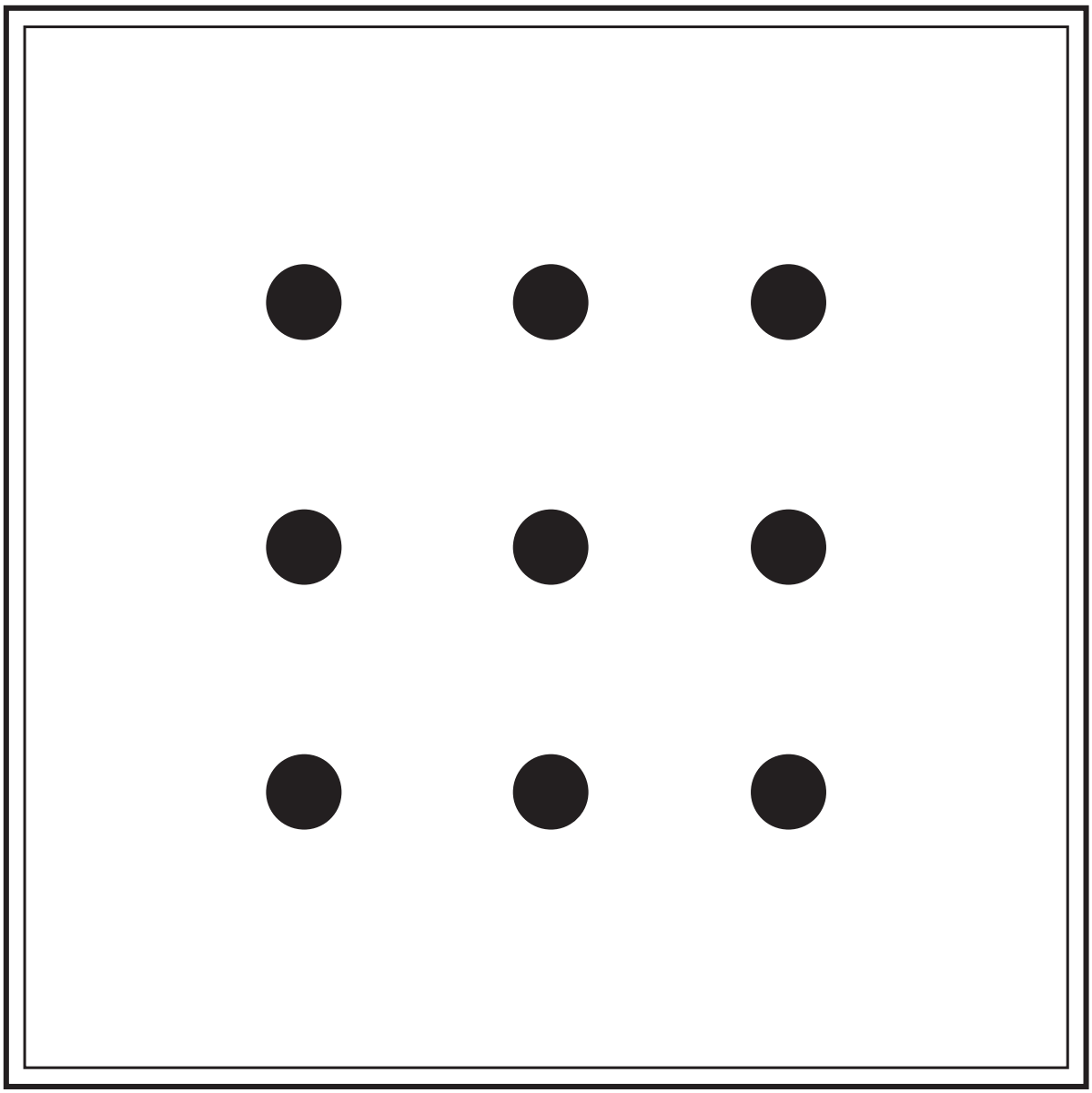
Saturation also can create difficulty for problem solvers who are searching for that one important detail in the midst of otherwise unimportant data. It can be difficult, for example, for drivers to notice slight oddities in their everyday vehicles, in addition to the car's customary quirks, squeaks, rattles, buzzers, and blinkers.

OVERLOOKING SENSORY INPUTS

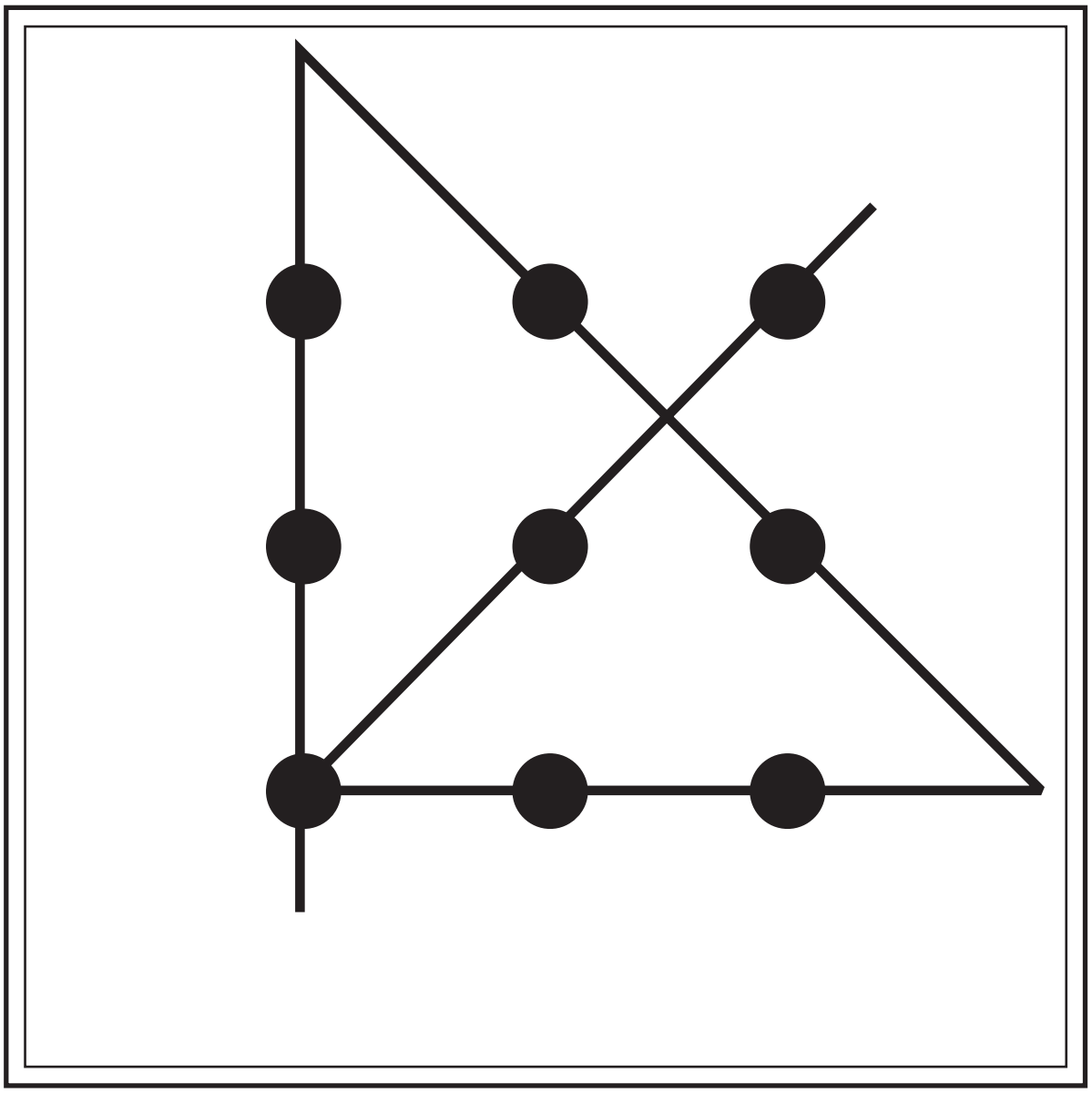
Human beings have five senses: vision, hearing, taste, smell, and touch. Most of us rely primarily on our eyes and ears to get along in the world. Few people have learned to make use of their noses, tongues, and hands when searching for the solution to a problem. A wise problem solver makes use of all sensory input. A restaurateur, for example, would be foolish to establish a "romantic" bistro with a pastoral view of a dairy farm without first testing the winds.

REFERENCE

Adams, J.L. (1979). *Conceptual blockbusting: A guide to better ideas* (2nd ed.). New York: W.W. Norton.



Nine Dots Puzzle



Nine Dots Solution

PLANNED RENEGOTIATION: THE PINCH MODEL

Planned renegotiation, developed by John J. Sherwood and John C. Glidewell (1973, 1975) and extended by John Sherwood and John Scherer (1975), is based on the premise that relationships in a social system—a pair, a group, an organization, or a community—seldom proceed as planned or expected. The model describes how social systems are established and become stabilized so that work can get done and how change can enter the system.

THE MODEL

As the model describes the probable cycle of relationships, it suggests a strategy for anticipating and controlling change. The cycle consists of four systematic phases.

Sharing Information and Negotiating Expectations

Whenever two or more people begin an association, no matter how brief, they exchange information about themselves. From this information, they begin to predict—although they may not specify—what they can expect from one another and how their association will proceed. Uncertainty is diminished by these implicit or negotiated expectations.

Commitment

As the parties involved begin to understand their respective roles and their shared expectations, they make commitments to one another. The strength of an individual's commitment and the range of his or her behavior encompassed by the role are measures of the importance of the particular relationship. Whether strong or weak, the commitments represent the agreements by the participants to live up to the expectations. The more important the relationship, the more evidence of commitment is required.

Stability and Productivity

Once commitments are made, the relationship becomes stable. Energy can be turned from sustaining the relationship toward productivity, generally with each person performing in accordance with the shared expectations. Although stability does not guarantee productivity, it is necessary for productive work to occur.

Disruption

It is assumed that a disruption eventually occurs in the stability of any association. The disruption may be internal to the association—one party or the other is not performing in accordance with expectations—or it may arise from some external source, such as the addition of a new person to the group or a reallocation of resources. Disruption is inevitable because individuals, groups, and organizations change as a consequence of interactions with their environments. Thus, new experiences or education may cause disruption, as the changed person returns to the unchanged role.

OPENING OF THE SYSTEM

When their expectations of an association are disrupted, the participants become uncertain. Their uncertainty is accompanied by anxiety, and the social system of the association is open to change. Expectations are no longer fixed, new information can enter the system, and the renegotiation of expectations can occur.

The paradox is that the very moment the system is most open to change, there are strong inhibiting forces working to return things to "the way it used to be" because of the anxiety that accompanies uncertainty. To relieve their anxiety, the participants might do any of the following.

- Return to phase one to share information and negotiate new expectations;
- Terminate the association; or, most likely,
- Return to the way things were before the disruption.

What often occurs is a ritualized commitment to prior expectations, such as an apology, handshake, or embrace, without admitting into the system the new information. The relationship remains closed to change when the parties deal with the uncertainty and anxiety produced by disruption by returning to the original level of expectations without renegotiation. If this is not feasible, they may end the relationship.

The theory predicts that disruption without renegotiation leads to increasing frequency and intensity of disruption. If the source of disruption is not remedied or improved, if the problem is not addressed, it is likely to persist and to add to the intensity of future disruptions precipitated by new problems. In fact, "return to the way things used to be" is actually a withdrawal of commitment to the relationship or association. The more inflexible the system, the more likely that a final disruptive event will be explosive and destructive.

PLANNED RENEGOTIATION

The Planned Renegotiation Model offers an alternative course of action. It recommends that an association anticipate disruption and plan in advance for renegotiation of the original expectations. In this way, the participants do not have to make important

renegotiations under the stress of uncertainty and anxiety *after* the disruption, but address these issues as a part of an ongoing, stable process. New information forms the basis for renegotiating the expectations that govern the relationship. When new information is allowed to enter the relationship and is treated in a problem-solving way, new expectations can be formed. These are more likely to be in line with the current realities of the situation, and once commitment occurs, the period of stability is likely to be more enduring before the next disruption.

Even termination of the relationship is likely to be a constructive, problem-solving solution when it is a consequence of renegotiation.

If the parties share this model as part of their mutual expectations, it can increase their tolerance for the uncertainty and anxiety that accompany relationships while expectations are held open during renegotiation. Going through the renegotiation process itself increases the participants' behavioral skills in doing so.

Pinch

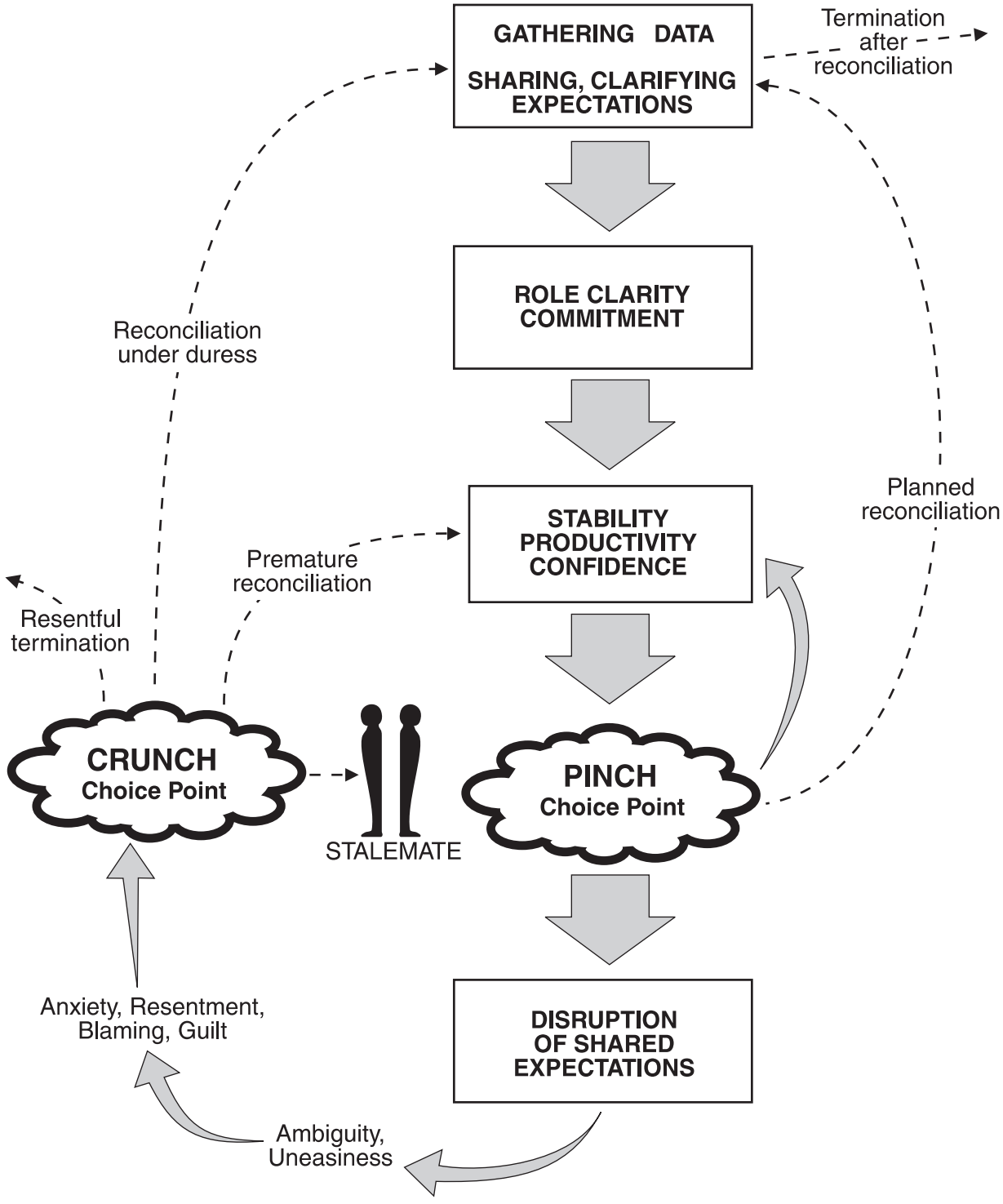
The keys to planned renegotiation are understanding the model of the cycles of a relationship and sharing information whenever a "pinch" is experienced by one or more parties. A pinch is a signal of the possibility of an impending disruption; it describes a sense of loss of freedom within one's current role. This may be caused by a sense of expanded resources or by subtle constriction of expectations by others. If not addressed, a pinch is likely to become a "crunch"—a major disruption. The question of renegotiation should be raised whenever an individual feels a *pinch* in the association. Some examples of pinches are as follows:

- "I think that I would like to go on this trip alone."
- "Although I will continue to do the drafting work on this project, I would like to do some engineering work, too."
- "I find that I am very hesitant to disagree with you because I am afraid that you won't like me (then . . . will turn against me)."
- "I do not express my opinions in this group because all discussions seem to be dominated by a few individuals."

When the question of renegotiation of expectations is raised at the point in the relationship when one of the members feels a pinch, the parties have more choice and more control over change. They are subject to fewer negotiations "under fire" and they are less likely to become victims of crises or pressures to return to the way things used to be.

The cycle of planned renegotiation can be illustrated as shown on the following page.

It is important that people learn to detect pinches before disruptions develop. A pinch is usually felt by an individual, whereas a disruption is experienced by all parties involved in the relationship. It is therefore the responsibility of the individual who feels



The PINCH Model

the pinch to raise the issue of renegotiation—rather than asserting that it is someone else's responsibility—before a disruption engulfs others. All members of the system must understand that anxiety is a natural part of the process and that there must be a mutual commitment to problem solving.

USE OF THE MODEL

The Planned Renegotiation model offers a strategy for staying out of trouble rather than getting out of trouble. Those who have implemented the concepts return to praise them and report exciting results. The use of the concepts leads to the learning of behavioral skills through insight, reinforcement, and imitation. In experimental situations, the model can be used to teach process observation and to practice sharing process information. When a group is experiencing anxiety, the model can be used to clarify the situation and the options for the future.

Planned renegotiation is a procedure by which controlled change can enter a system or organization; it is intended to become part of the normative structure of an organization. It is most likely to be successful as a norm-setting intervention in an organization when there is some prior commitment to the concept of organization development. It supplies a theoretical framework to guide behavior in building more productive working relationships.

In using this model, people initially are dealing with the model and trying out problem-solving skills in addition to dealing with the content of the pinch and the situation. Over time, the skills and procedures will become more habitual, and the renegotiation will occur more easily.

It may be helpful to have the parties involved specify in writing what they expect from the relationship (including any desired change) and what they are willing to give in return. In a work relationship, a final, written agreement may specify the agreed-on changes or behaviors expected from each party, including possible sanctions for noncompliance. It is expected that any pinch will be brought up for discussion before noncompliance occurs. Third-party consultation can be very helpful in this process.

REFERENCE

Sherwood, J.J., & Scherer, J.J. (February, 1975). A model for couples: How two can grow together. *Journal for Small Group Behavior, 6*(1), 14.

SOURCES

Sherwood, J.J., & Glidewell, J.C. (1973). Planned renegotiation: A norm-setting OD intervention. In J.E. Jones & J.W. Pfeiffer (Eds.), *The 1973 annual handbook for group facilitators.* San Diego, CA: University Associates.

Sherwood, J.J., & Glidewell, J.C. (1975). Planned renegotiation: A norm-setting OD intervention. In W.W. Burke (Ed.), *New technologies in organization development: 1.* San Diego, CA: University Associates.

PROBLEM ANALYSIS/POTENTIAL PROBLEM ANALYSIS/DECISION ANALYSIS

In their book *The Rational Manager* (1965) and later in *The New Rational Manager* (1981), Charles H. Kepner and Benjamin B. Tregoe presented their ideas on management and problem solving. They devised a model of the three most important managerial processes: *problem analysis, potential problem analysis,* and *decision analysis.* This model is depicted at the end of this article.

According to Kepner and Tregoe, there are four, basic, rational processes that all managers can use for optimal effectiveness, troubleshooting, and problem solving. These processes are based on universal human thought patterns and, therefore, always are applicable and useful.

PROBLEM ANALYSIS

This process is designed to help the manager to deal with a problem that already exists. Problem analysis is particularly helpful when a problem occurs without warning and without apparent cause. The process of problem analysis consists of several steps:

1. ***Define the Problem.*** Before a problem can be dealt with, it must be defined. All persons involved must be clear and in agreement about what is wrong. A *deviation statement* must be created, that is, a specific description of the malfunction or problem. Vague or generalized statements are of little help. The description of the problem must be pushed past the vague point until the exact problem—or deviation from the norm—is pinpointed.
2. ***Describe the Problem in Four Dimensions: Identity, Location, Timing, and Magnitude.*** In this step, the problem (as identified in step one) is described in detail. The manager will need to know:
   - What is being explained (*Identity*);
   - Where it is observed (*Location*);
   - When the problem occurs (*Timing*); and
   - How serious the problem is (*Magnitude*).

   The second part of step two involves making a comparison between what the problem *is* and what *could have* but *does not have* the problem. For example, a new car stalls frequently. Another car, the same make, model, and year, purchased the same day, does not have this problem. In terms of the four dimensions (identity, location, timing, and magnitude), what are the differences between these two cars? (Compare location, amount of driving done daily, owners' adherence to maintenance schedules, etc.) Consideration of these factors

may be of help in bringing possible causes of the problem to light; it also will serve to discount other factors.

3. ***Reading the Clues: Extracting Key Information.*** Once an is/could-be-but-is-not list is made (step two), the question, "What is distinctive?" is applied to each factor. In the case of the car, one must determine what is distinctive about the car that stalls in comparison with the car that does not stall.

Car One	Car Two
Stalls	Does not stall
Garaged	Garaged
Does not receive regular maintenance	Maintained regularly
Driven 100 miles a day	Driven 25 miles a day
In California	In New York

After comparing these factors, one can prepare a list of *possible* causes. In the case of the car that stalls, possible causes might be:

- Does not receive regular maintenance and servicing.
- More run down because of greater use.
- Warm, dry climate is affecting car's performance.

4. ***Testing for Most Probable Cause.*** After all possible causes are identified, it is important to ask of each one: If this is the true cause of the problem, how does it thoroughly explain each dimension of the problem? The true cause must explain each specific effect; we are no longer dealing with generalities. Using this method, it is easy to eliminate many of the possible causes. In the above example, a mechanic might tell the puzzled owner that the California climate is kindest to cars; that extensive driving is good for a car's system; and that the most likely source of the problem is the infrequent maintenance. To test this hypothesis, the car's owner needs to begin a program of ongoing, regularly scheduled maintenance. If the car ceases to stall, it is safe to say that a lack of proper maintenance caused the car's tendency to stall.

DECISION ANALYSIS

When evaluating possible courses of action, managers need to evaluate the objectives, alternatives, and potential risks. Decisions can be classified into five categories:

1. ***Complex decisions*** involve large amounts of information and the input of many people.
2. ***Yes/No decisions*** involve two alternatives: to take or to reject a proposed course of action.

3. ***Decisions that involve a single course of action:*** to implement the proposed measure.
4. ***Decisions that involve one alternative:*** to adopt the alternative measure.
5. ***Routine decisions:*** hiring, purchasing, developing policies, and so on.

Especially when dealing with complex decisions into which many people have input, it is important to use a rational decision-making method such as decision analysis. By striving to identify the objectives, alternatives, and potential risks surrounding the decision, teams are better able to keep "on course" and are less apt to be sidetracked by personal conflicts or unclear goals.

POTENTIAL PROBLEM ANALYSIS

Potential problem analysis differs from problem analysis and decision analysis in that the latter are designed as strategies for coping with *immediate* situations and currently occurring problems. Potential problem analysis, on the other hand, is designed to assist managers in dealing with the future. Potential problem analysis is a method of predicting future problems and dealing with them *before* they have a chance to happen. The manager who successfully uses potential problem analysis may seem to others like an eternal pessimist—one who espouses "Murphy's Law": "What can go wrong, will go wrong."

The two questions asked during potential problem analysis are, "What could go wrong?" and "What can we do about it *now*?" Broken down further, potential problem analysis requires the identification of four aspects of the proposed course of action.

1. ***Vulnerable areas*** of the proposed undertaking.
2. ***Specific potential problems*** within those vulnerable areas, especially those that pose enough of a potential problem to warrant taking preventative action.
3. ***Likely causes*** of the potential problems, and courses of action to take to prevent these problems.
4. ***Contingent actions*** to take, should the first preventative actions fail.

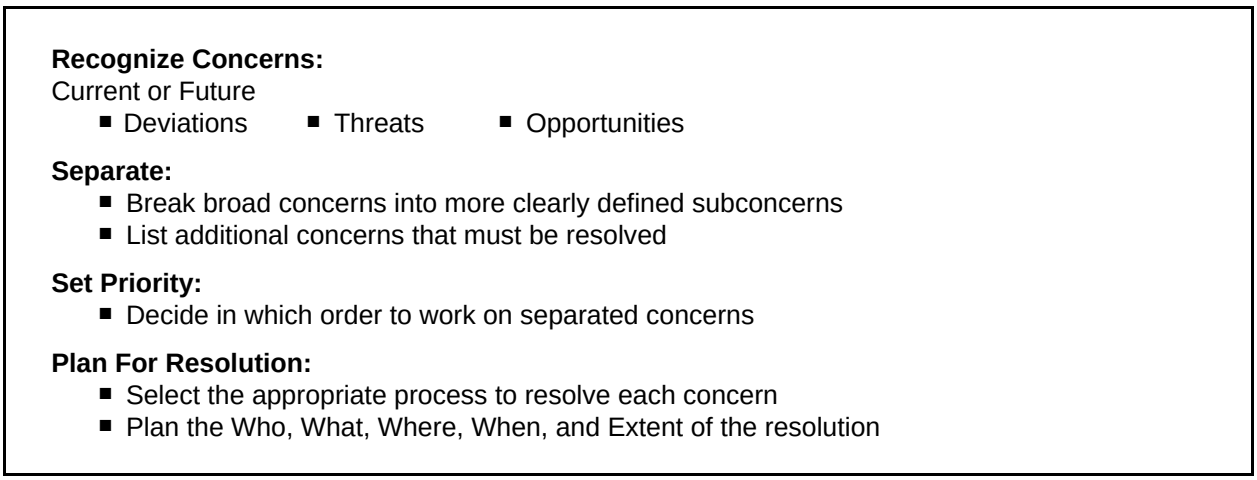
SITUATION APPRAISAL

A final tool available to managers, not included in the Kepner-Tregoe model of problem analysis, is *situation appraisal.* As opposed to problem analysis, potential problem analysis, and decision analysis, which are classified as *analytical techniques* (they are used to resolve issues and problems), situation appraisal is an *evaluative technique;* it is used to select and to implement the analytical techniques. By using situation appraisal, managers will be well prepared to utilize the analytical techniques of problem solving and troubleshooting.

The methods of situation appraisal enable a manager to do the following:

- Recognize problems;
- Break problems down into their component parts;
- Establish priorities; and
- Plan ways to solve problems.

These abilities are represented in the following figure.



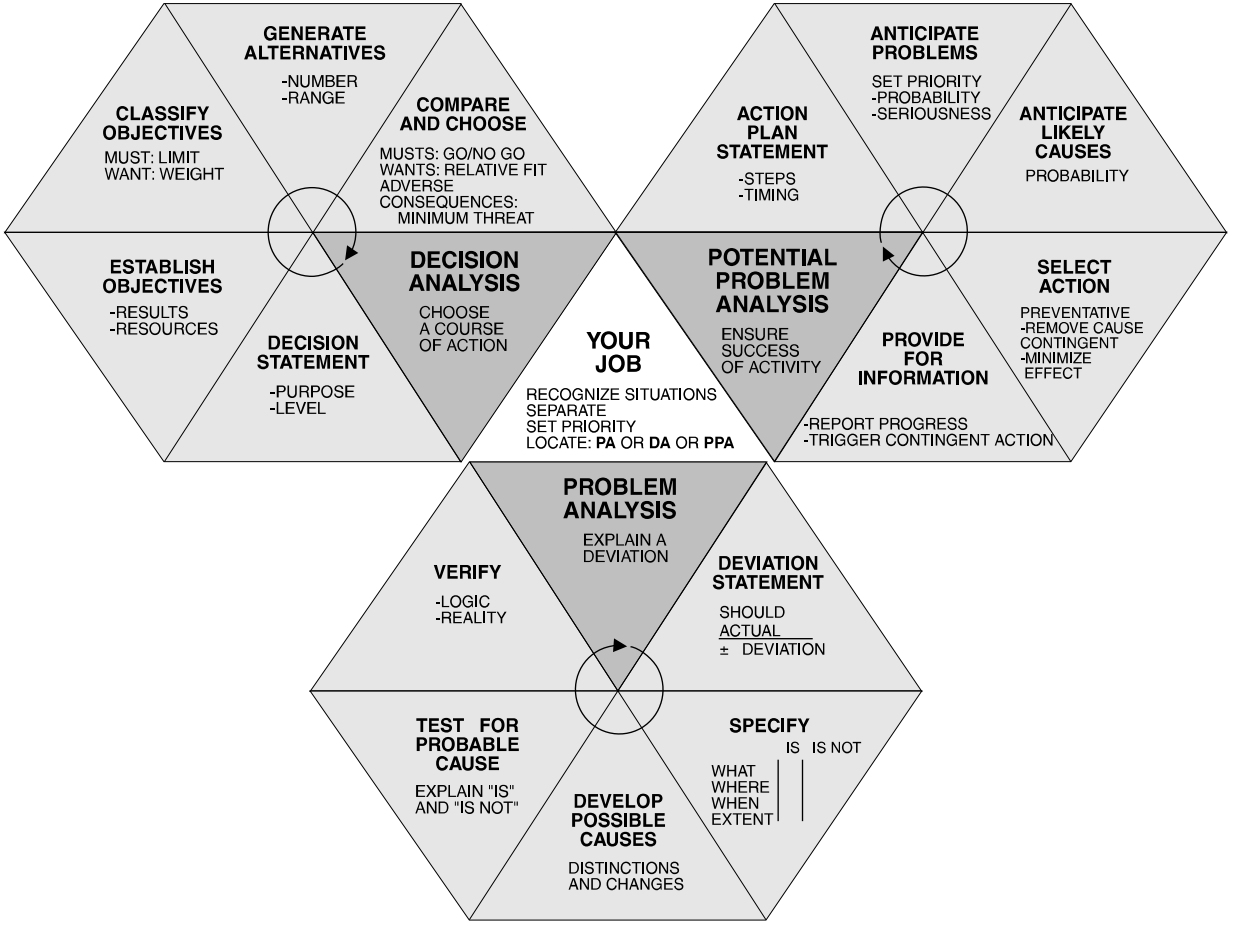
The Stages of Situation Appraisal

Using the techniques of situation appraisal helps managers to evaluate circumstances rationally and set appropriate priorities. When managers and subordinates think each situation through specifically and in detail, consensus can be reached, priorities can be set, and the full energies of the team can be focused on accomplishing each task effectively and without unforeseen problems.

REFERENCES

Kepner, C.H., & Tregoe, B.B. (1965). *The rational manager.* Princeton, NJ: Kepner-Tregoe.

Kepner, C.H., & Tregoe, B.B. (1981). *The new rational manager*. Princeton, NJ: Kepner-Tregoe.



Problem Analysis/Potential Problem Analysis/Decision Analysis Model

---

PROGRAM EVALUATION AND REVIEW TECHNIQUE (PERT) AND CRITICAL PATH METHOD (CPM)

PERT and CPM originally were U.S. Navy Program Control techniques devised in the 1950s and 1960s to assist program managers to keep Navy-contracted programs on track. They are related to Gantt charts, industrial engineering, and other early (1890-1930) tools of scientific management.

The Program Evaluation and Review Technique (PERT) is an analysis and flow-charting procedure that begins with identifying the sequences of dependent activities necessary to reach a specific goal or outcome. It is a way of charting *both simultaneous and sequential activities* in order to plan a complete project. PERT is an effective means of scheduling a related sequence of events so that a goal will be accomplished at a previously-decided time.

A variation of PERT is known as CPM, or the Critical Path Method. When using CPM, one plans the PERT "flow chart," then looks for parallel activities—things that can be accomplished at the same time. The *critical path* is the activity among the simultaneous ones that consumes the most time. Looking for the critical path can save time by combining activities that can be accomplished simultaneously. When planning a schedule using CPM, it is necessary to plan within the critical path's time allotment (the time needed for the longer activity) in order to not be caught short on time.

The process requires the answering of certain basic questions:

- What time is available?
- What are the actions or tasks to be completed?
- How quickly can each task be accomplished?
- Who will accomplish each task?

The key to using PERT is to think *backward* in time from the desired outcome, not *forward* from some arbitrarily assigned starting point. For example, suppose we are planning a bank robbery; we would complete the PERT chart as follows:

1. Describe the end result and then identify the necessary actions, tasks, or "activities" to achieve each major state, stage, or "event." List these in chronological order.

   Activities:

   a. Drop off one gun person and the safe cracker in the alley behind the bank.
   b. Drop off the other gang members in front of the bank.
   c. Everyone enters the bank at the same time.

d. The gun people take up their position and point their weapons at everyone in the bank.
e. The counter leaper leaps over the counter and empties the money drawers.
f. The safe cracker cracks open the safe and empties it.
g. All members of the gang leave the bank at the same time.
h. The driver meets the rest of the gang in front of the bank when the robbery is completed.

2. Identify the participants. People can be assigned to each activity now or at a later date, depending on whether the person(s) selected will affect the time needed to complete the action. (It frequently is helpful if those involved participate in the planning.)
3. Identify the end time (due date or total time allowed) and then back-time each activity. This means that the time required to complete each activity must be computed or estimated closely.

   Timing:

   a. Two minutes to pick the lock on the rear door.
   b. The alarm goes off when the back door is picked; the police arrive in seven minutes, thirty seconds.
   c. Forty-five seconds to drive from the alley to the front of the bank.
   d. Thirty seconds for the gun people to enter the bank and take up their positions.
   e. Sixty seconds for the safe cracker to reach the safe from the back door.
   f. Thirty seconds for the counter leaper to leap over the counter and start to empty the drawers.
   g. Three minutes to empty the tellers' money drawers.
   h. Two minutes to open the safe.
   i. Two minutes to empty the safe.
   j. Forty-five seconds to exit from the bank and reach the car at the front curb.

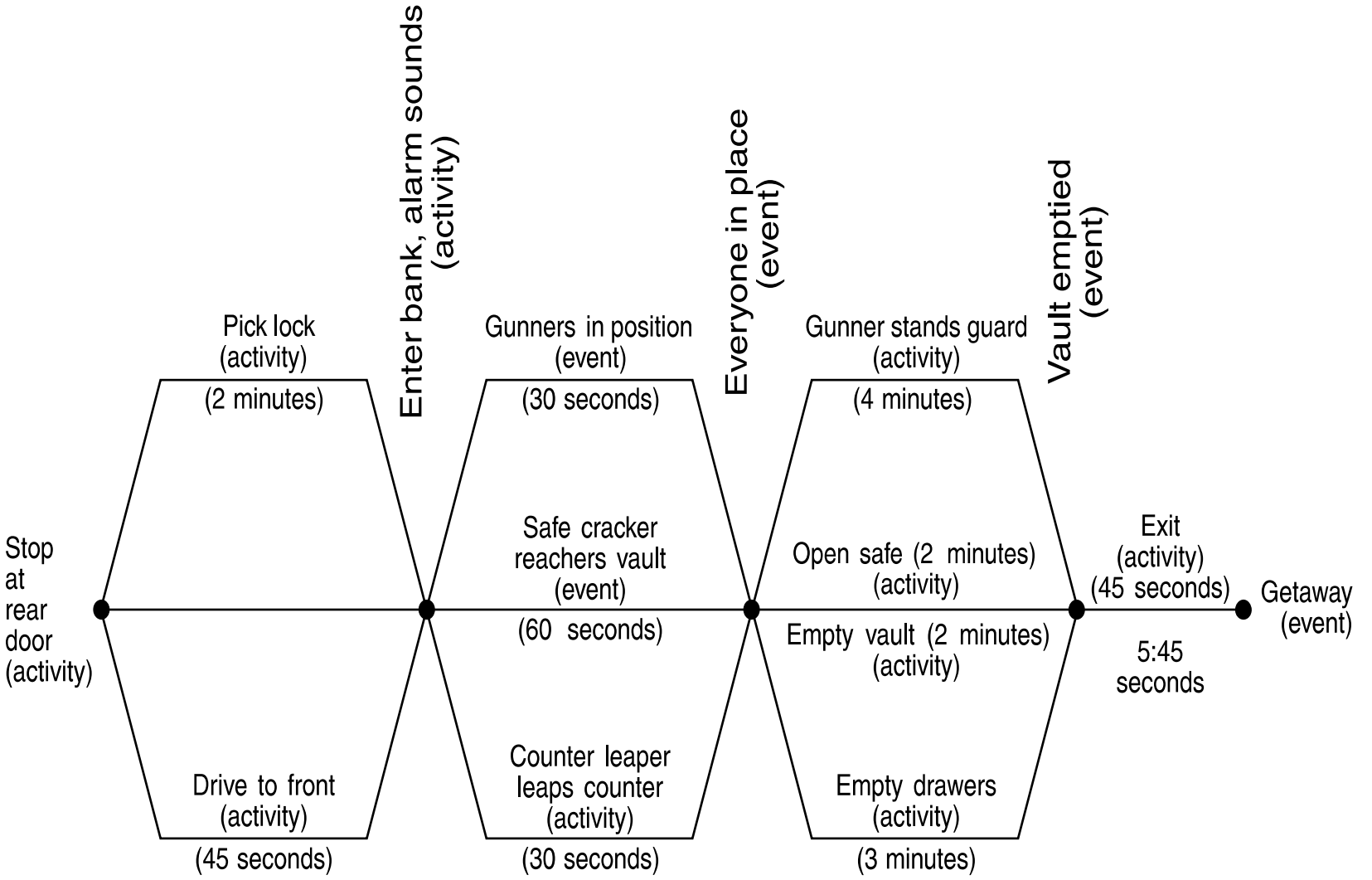
4. If there are simultaneous actions to be performed (two or more activities being done within the same time frame), *add up the ones that will take the most time.* These are the activities that will be shown on the "critical path." The activities that will be performed simultaneously will be depicted as side paths.
5. Draw a diagram (or "flow chart") of sequential and simultaneous activities, with timing (and personnel, if possible) indicated. It is crucial to identify the necessary activities that will take the most time—depicted as the critical path. The plotting of this path is algorithmic.
6. Calculate the time that each activity on the critical path will take and compute the total time backwards; this will indicate when you must begin. If you cannot begin by that time, you must shorten the time required to accomplish one or more of the activities on the critical path. If you cannot do that, you must revise the plan.

If the activities on the critical path are not properly controlled and the phased work brought forward from them, the entire PERT will become bottlenecked. In this sense, there are critical and not-critical paths. Even though all activities may be required for successful completion of the plan or project, the timing of the activities on the critical path is a major factor.

SOURCES

Sharfman, M.P., & Walters, T.R. (1983). Robbery: Planning with PERT. In L.D. Goodstein & J.W. Pfeiffer (Eds.), *The 1983 annual for facilitators, trainers, and consultants.* San Diego, CA: University Associates.

Yoes, D.E. (1975). An introduction to PERT . . . or . . . . In J.W. Pfeiffer & J.E. Jones (Eds.), *The 1972 annual handbook for group facilitators.* San Diego, CA: University Associates.


Stop at rear door (activity)
Pick lock (activity)
(2 minutes)
Drive to front (activity)
(45 seconds)
Enter bank, alarm sounds (activity)
Safe cracker reachers vault (event)
(60 seconds)
Counter leaper leaps counter (activity)
(30 seconds)
Gunners in position (event)
(30 seconds)
Everyone in place (event)
Open safe (2 minutes) (activity)
Empty vault (2 minutes) (activity)
Gunner stands guard (activity)
(4 minutes)
Empty drawers (activity)
(3 minutes)
Vault emptied (event)
Exit (activity)
(45 seconds)
5:45 seconds
Getaway (event)

SIX-STEP PROBLEM-SOLVING MODEL

Developed by Roger Kaufman (1982), the six-step problem-solving model presents a method for solving problems that Kaufman describes as getting from "what is" to "what should be." Described as a *management plan*, the model is a series of products—in other words, results of consequential decisions that are arranged in order from start to finish. This process is depicted in the figure on the next page.

In step one, *Identify problem based on needs,* the gap (need) between current outcomes and desired outcomes (or any gap in results) must be identified.

In step two, *Determine solution requirements and identify solution alternatives,* all requirements for getting from "what is" to "what should be" must be analyzed. Alternative methods of meeting these requirements also must be identified, although they are not selected at this stage.

In step three, *Select solution strategies,* one must choose the most effective and efficient means of meeting the solution requirements and achieving the goal.

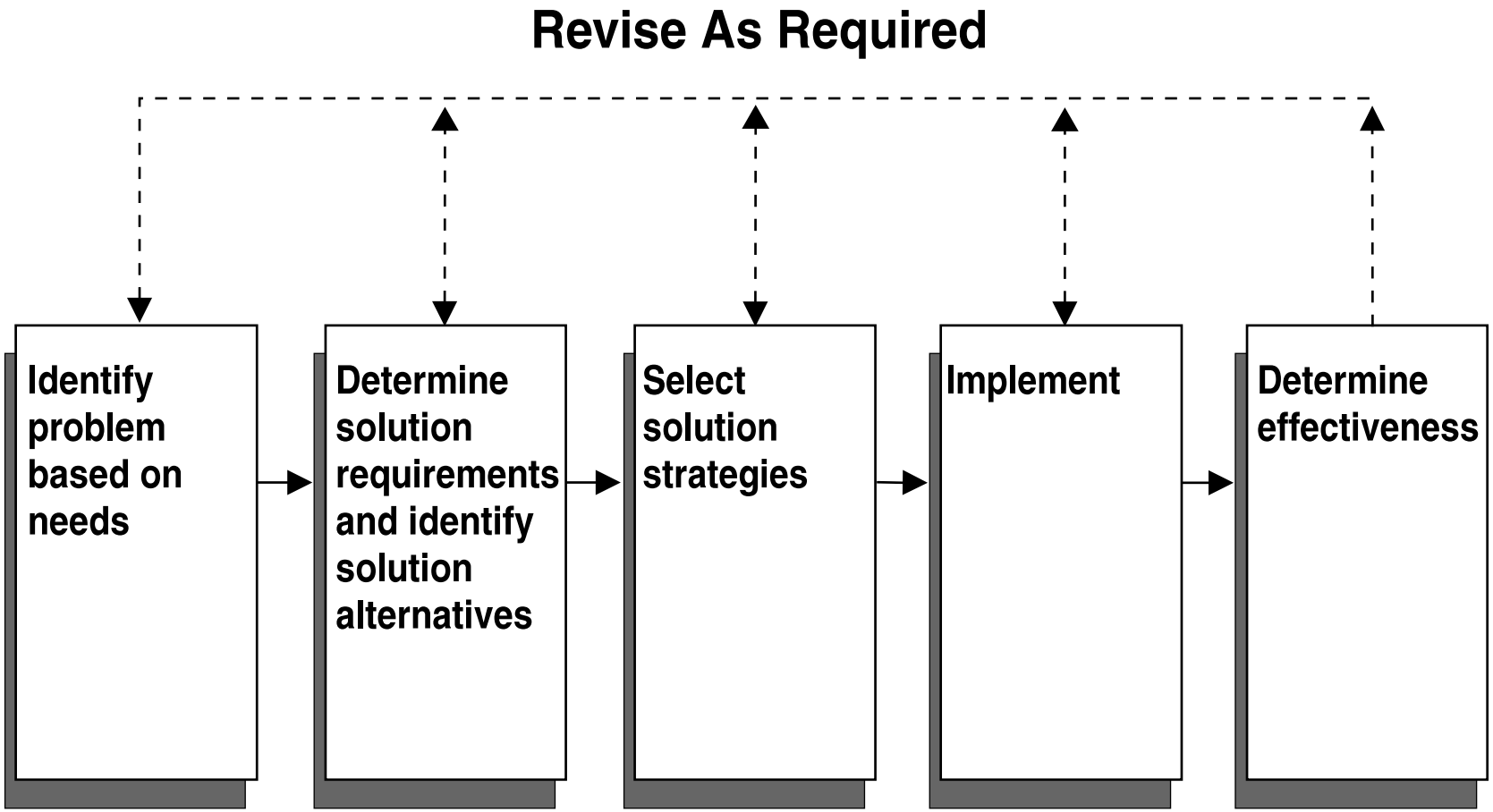
In step four, *Implement,* the chosen method of reaching the goal must be put into practice.

In step five, *Determine effectiveness,* one must determine how well or how poorly the requirements have been met.

In step six, *Revise as required,* changes in planning and implementation are made as needed to reach "what should be." When changes are made during the process of problem solving, this is known as *formative evaluation.* Changes made after program results are complete are known as *summative evaluation.*

REFERENCE

Kaufman, R. (1982). *Identifying and solving problems: A system approach* (3rd ed.). San Diego, CA: University Associates.



Kaufman's Six-Step Model

SOLVING INTERPERSONAL PROBLEMS

In his book *Reaching Out: Interpersonal Effectiveness and Self-Actualization*, David W. Johnson (1972) outlines a system or model that can be used to work through a problem that one person is experiencing because of another person.

In order for this procedure to be applicable, the following requirements must be satisfied:

1. The problem must be personally important to the individual;
2. The individual must be personally involved;
3. The individual must truly desire a solution; and
4. The problem must be *able to be* solved.

Once it has been determined that the above requirements are satisfied, Johnson asks that the problem solver write a statement expressing his or her current perception of the problem. The writing of the statement should be spontaneous rather than planned.

Johnson's model of problem solving comes into play at this point. He asserts that there are four *stages* of thinking about problems. These stages range from the general and accusative to the specific and behavioral, the latter being thought out, targeted, nonoffensive, and most helpful when presented to another person as feedback. Below is a brief summary of the four stages.

- ***Stage One:*** The problem is bad, the other person is bad, but you personally are not affected.
- ***Stage Two:*** The problem is bad, the other person is bad, and they both affect you in a negative way.
- ***Stage Three:*** The problem is personally upsetting to you because it causes you to feel and react in a certain manner.
- ***Stage Four:*** You realize that something the other person does bothers you, but you also realize that you contribute to the problem.

In an example of how Johnson's problem-solving process works, the characters are a husband and wife named Joe and Susan. In the example, Joe is experiencing a problem with Susan.

Problem statement: *Susan never calls to tell me that she'll be working late at night.*

The next step is to compare Joe's problem statement with the four stages, and to decide in which stage he is thinking about the problem.

Stage One: Is it a general complaint with no personal bearing on Joe? No, because Joe obviously becomes upset when Susan does not call him to warn him that she will be working late.

Stage Two: Is it a general complaint that involves Joe personally? Yes; Joe is personally affected by the problem, which is described in fairly general terms.

Stage Three: Is it a general complaint that affects Joe personally, and does Joe express his feelings and reactions to this problem? No, Joe does not express his feelings at all. Therefore, this is an example of stage-two thinking.

To sort out this problem, Joe now needs to express how Susan's failure to call makes him feel or react (how the problem affects him). He responds as follows:

I hate it when Susan doesn't call to warn me that she's working late because I figure if she cared enough, she'd call. I'm always careful to let her know if something comes up on my job, and it makes me feel insignificant to know that Susan doesn't bother to do the same for me. In addition, I can't help but wonder sometimes if Susan doesn't call because she's trying to hide something—is she really working or is she doing something else? At any rate, it's an inconvenience to me.

By stating how he feels about and reacts to the problem, Joe has clarified his own thoughts about *why* Susan's actions bother him. He now has specific feedback that he can give to Susan about how her actions affect him.

To make the transition to stage-four thinking, Joe now must examine how he contributes to the problem. Contributions to a problem may be through actions or a failure to act. This step may be explained with the phrase, "If you're not part of the solution, you're part of the problem." Joe responds:

Maybe Susan doesn't call me diligently because she thinks it doesn't matter whether she's home or not. I realize that I sometimes pay less attention to her than I should. Our routine consists of opening the mail, fixing and eating dinner, watching television, and going to bed. Perhaps if I showed more interest in her work day, and we made time for more quiet conversation at home, Susan would come to value her evenings more and realize that I really do miss her when she's gone.

The process of moving a problem through Johnson's problem-solving process may change the way in which the problem is perceived and understood. It may even change one's feelings about the problem as a whole. Johnson recommends that, once a person has finished moving a problem through the stages, he or she write down any changes in understanding and/or feelings about the problem. Next, it is helpful to review the list of skills on the next page and identify those that could help to resolve the problem.

Next, it is helpful to list the skills or strengths that one already possesses that would assist in solving the problem. Then Johnson suggests completing the following statement:

In relation to the problem I've described and any changes in understanding of and feelings about the problem which I'm experiencing, the following specific changes in my behavior would be helpful in solving the problem:

Finally, the person who wishes to effect behavioral change should rate his or her *willingness* to change on a scale from one to ten (ten meaning a high willingness to

change). Johnson stresses that the likelihood of change being effected is directly related to the attitude, willingness, and behavior of the person who states the problem. In other words, if a person is experiencing a problem with another person, the other person must not be the only one who is expected to change. The person who is doing the criticizing must also be open and willing to examine how his or her behavior contributes to the problem, and to change those behaviors to help achieve the desired result.

1. Self-disclosure.
2. Behavior description.
3. Personal statements.
4. Relationship statements.
5. Direct description of one's feelings.
6. Nonverbal expression of warmth and liking.
7. Giving the other person helpful feedback.
8. Perception check of the other's feelings.
9. Confirming the other's strengths.
10. Reinforcing the other's strengths.
11. Expressing acceptance of the other person.
12. Understanding response.
13. Negotiating-for-meaning response.
14. Evaluative response.
15. Interpretative response.
16. Supportive response.
17. Probing response.
18. Confronting the other person.
19. Building trust.
20. Modeling ideal behavior.

REFERENCE

Johnson, D.W. (1972). *Reaching out: Interpersonal effectiveness and self-actualization.* Englewood Cliffs, NJ: Prentice-Hall.

Solving Interpersonal Problems

- *Stage One:* The problem is bad, the other person is bad, but you personally are not affected.
- *Stage Two:* The problem is bad, the other person is bad, and they both affect you in a negative way.
- *Stage Three:* The problem is personally upsetting to you because it causes you to feel and react in a certain manner.
- *Stage Four:* You realize that something the other person does bothers you, but you also realize that you contribute to the problem.

STRIDE: THE BREAKTHROUGH PROCESS

The results of an organizational effectiveness survey by Crosby and Scherer (1985) showed that although American organizations tend to do a lot of "problem solving," the same problems keep reoccurring. Apparently, solutions are agreed on, but the real issues or problems are not addressed. Things that need to be changed exist just under the surface, then rise to the surface somewhere else as the same or "another" problem.

Another reason why the same problems keep occurring is that follow-through is not complete. The STRIDE process, developed by John J. Scherer (1986), is designed to identify root issues and produce high-quality solutions that actually are implemented. The process also creates the potential for a "breakthrough," which is very different from the typical "solution."

BREAKTHROUGH

A breakthrough is a fundamental shift in the situation, usually experienced as a basic or profound change in the way those involved view the problem—a new mind set. It creates the space for something totally new to happen.

A breakthrough solution is accompanied by unusual amounts of energy released in the people involved as well as by a high level of confidence in the ultimate success of the decision. There is a strong commitment to see that the solution works.

Often, all the information needed for a successful resolution of a problem already is present in the system. Valuable information or a crucial point of view may not be *recognized* by the person who holds it—much less by the group—or it may not be available *in the right format at the right time* in order to be utilized. After a breakthrough, people usually say, "Why didn't we think of that earlier?"

Resistance: Why We Fight the Best Solutions

Most groups and people are afraid of something different. They realize that to attain something, they must give something up. Also, the way in which one thinks about something is very personal and, thus, very precious. By unwittingly holding on to a problem while trying to "solve" it, we allow ourselves to retain our views of the way things are. Many of us would rather be "right" and have valid reasons for why things do not work than be "wrong" about something and obtain the results we want.

CONDITIONS FOR BREAKTHROUGH PROBLEM SOLVING

In order to achieve breakthrough, the individual or group must be in the right frame of mind (context) and then think about the right things at the right time (process). The

context is characterized by four conditions that must exist before the problem is attacked. Within this context, however, virtually any problem-solving process will work.

Alignment

Alignment implies a "critical mass" of participants in agreement on the ultimate purpose of the group or system and agreement about how the breakthrough will contribute to it. All perceive the opportunity as important. There also must be clarity and agreement about how the final decision will be made (i.e., how much influence the boss will have and how much the group members will have).

Integrity

Each individual in the group must believe that the others will do what they say they will do. Everyone must commit to create and maintain trust.

Responsibility

Each person must be willing to take 100 percent responsibility for resolving the situation. The group must identify those who have the power to create the change. No one must blame while waiting for someone else to change. Everyone must believe that he or she makes a difference.

Commitment

The group must state that it is going to see to it that the breakthrough occurs, no matter what. The will and energy to make it happen will rise above "common sense" reasons why it cannot.

CREATING THE RIGHT CONTEXT

To help the group to prepare for the STRIDE process, each member must do the following:

- Tell the truth, at least to himself or herself.
- Adopt the position that "I don't know . . .," rather than "I already know . . . ."
- Be willing to let go of whatever is not working.
- Keep the image of the transformed situation and ultimate mission in mind at all times.
- Approach the problem-solving session believing it can transform the situation.
- Allow any cynicism and resistance also to be transformed by the process.

The group members must ask, "What is the problem trying to tell us about our group or system?" and "What will still be unresolved if we solve this specific problem?"

The process may have to be repeated until the group reaches the “source issue"—the root of the problem, and each “trip” through the STRIDE questions may produce a new awareness of the situation. Every *superficial* solution produces new dilemmas.

THE STRIDE PROCESS

The odds of achieving a lasting, reality-based solution to a problem are raised appreciatively when these six critical concerns are addressed before deciding.

S: The Situation Now

Any breakthrough must start with what *is*. Clearly identifying the present situation can help to provide the commitment needed later on. The group members must identify the following:

1. What is happening now in the situation we intend to transform?
2. What is a recent, concrete example of the problem?
3. What/how is the situation costing the group or system? Who is suffering the most?
4. Who else do we need to involve or talk to if we are to succeed? Who is affected by or will have to carry out the solution? How should we involve them?
5. How will the breakthrough affect our mission/purpose?
6. Where is the impetus for change coming from? Who “owns” the problem?

T: The Target

Groups that achieve the most have a clear picture of the *possibility* a breakthrough represents and direct efforts toward it. Groups that focus only on the *problem* achieve less than do groups that focus on desired outcomes. The following questions can help the group members to develop a “target.”

1. What would success look like? What will happen/not happen (in concrete examples) when we create the breakthrough?
2. Who shares this picture of the way things could be? Who would like to see this happen?
3. How should these people/groups be involved in the process?

Group members can use guided imagery to envision the way things could be. Useful insights and positive mind sets are generated by this process.

R: Reasons/Restraining Forces

An accurate analysis of the forces that restrain or oppose a solution or breakthrough is necessary. Every problem serves some function in the situation and will leave a hole

when the solution is found. The “opposition"—people who hinder the envisioned solution—also must be identified.

The group must accomplish two things in order to deal with these issues. They are:

1. Determine why the problem continues to exist. (Why has it not taken care of itself?)
2. Conduct and draw a force-field analysis of the solution.

I: Identifying Key Restraints/Ideas

It is necessary to identify the one or two most important aspects of the situation known so far. A single factor, or a cluster of them, usually emerges or is sensed by the group. If members can agree to a commitment to transform that, they have won half the battle. The following questions may help in this process.

1. Which of the restraining forces are both significant and reducible?
2. Which ones seem closest to the source of the issue?
3. What specifically needs to happen that is inhibited by these forces?
4. What might the group do about these things?

D: Deciding/Doing/Designing

The views of the minority should be considered. Each alternative should be tested against concerns surfaced so far, then the decision should be made. Total commitment must be obtained. It helps to be clear from the beginning about how the final decision will be made and by whom; this helps to avoid resistance, reluctance to commit, and picky arguments about details. The following questions can help the group to prepare for action.

1. What do we agree to do? Are we willing to commit ourselves 100 percent to do this?
2. What do we need to have *others* do?
3. What is our plan of action? Who will do what? By when?

E: Evidence of Success/Evaluation

This is an important step and often is overlooked. It closes the loop and creates accountability. When signs of success are identified, the breakthrough is supported in the face of resistance. The questions that follow will help the group members to evaluate their progress.

1. What will be the signs of success? What evidence will convince us that a breakthrough has occurred?
2. Who will be responsible for ensuring that these things are achieved?
3. How long will it take for us to decide or know? Who else will have to agree?

4. How will we celebrate or acknowledge our success?

During the STRIDE process, the group must check continually to ensure that all four contextual conditions (alignment, integrity, responsibility, commitment) are present. If one or more is absent, the group must stop the process and work on the contextual issue(s).

Although the process is presented in a linear sequence, it need not occur in that order. If a great idea emerges, it may be most feasible to work outward from there, going backward and forward in the model until all the steps have been covered. If confronted by an obstacle, it may be wise to start with identification of the restraining forces and proceed outward from there.

As with any new process or skill, the time that it takes (and the self-consciousness that it engenders) diminishes as it becomes familiar and experience is gained in using it.

HOW TRAINERS AND CONSULTANTS CAN USE THE PROCESS

With a work team or intact group, the STRIDE process can be used for problem solving. A suggested format for this is:

1. Deliver a lecturette on the four contextual conditions necessary for breakthrough.
2. Obtain a statement of group alignment on the ultimate purpose or mission of the group or organization.
3. Ask "Who is willing to take personal responsibility for ensuring that a breakthrough occurs here?" Do not proceed until at least one solid commitment has been made.
4. Deliver a lecturette on the STRIDE process.
5. Post a sheet of newsprint on the wall and record all aspects of the STRIDE process. Tell the group members not to worry about "getting ahead" or "being off the subject."
6. Start with the situation and move ahead.
7. Stop periodically to check for the four contextual conditions.

The process can be used as a consulting model to guide the conditions required in one's working relationships with clients. A description of the STRIDE process can be distributed to key participants, and the similarity between STRIDE and an action-research model of change can be pointed out.

The STRIDE process can be used as an interviewing framework or in making a first personal or telephone contact. It also helps to keep the discussion on track.

In designing training events, the model can be used to ask the client the right questions.

HOW MANAGERS CAN USE THE PROCESS

STRIDE is particularly effective as a problem-solving process, both in meetings and for thinking through a problem alone before deciding how to handle it. It also has value as a model of transition management because it clarifies how one wants to work with a new group or organization. Finally, the process can serve as a consultant-client model for the manager, to guide the consultant in dealing with the manager's issues and in working with the manager and his or her people.

REFERENCE

Crosby, B., & Scherer, J. (1985). *People performance profile: An organization-effectiveness survey*. San Diego, CA: University Associates.

SOURCE

Scherer, J.J. (1986). STRIDE: The breakthrough process. In J.W. Pfeiffer and L.D. Goodstein (Eds.), *The 1986 annual: Developing human resources.* San Diego, CA: University Associates.

The STRIDE Process

SYNECTICS

Synectics refers to the study of human creative processes, especially the manner in which creative processes are used by diverse groups to solve problems. The word "synectics" is derived from Greek and means "to join together different and unrelated elements." As a discipline, synectics has evolved from research on human creativity that began in 1944. Preliminary results suggested that underlying psychological processes operate during creative activity and that:

- Creative activity can be increased if the underlying psychological processes are described and understood;
- Emotions and irrationality are more important than intellect and rationality during creative activity; and
- Problem identification and problem-solving proficiency can be increased if creative processes are understood and are worked with.

CREATIVE PROCESSES

The creative process is defined by Gordon (1961) as a *mental activity used in problem-stating and problem-solving situations from which artistic or technical innovations result.* In synectics theory, there are no differences in the psychological processes and mental activity needed for artistic innovation and those needed for technical innovation. Furthermore, the use of the term *problem-stating* is deliberate and is intended to illustrate the importance of including problem definition and problem understanding as part of the problem-solving process.

Synectics research focuses on creative activity within groups. Research results indicated that groups that maximize their creative capacity for innovative solutions pass through identifiable psychological states prior to reaching a final solution. These psychological states include but are not limited to:

- ***Suspension of adult-like disbeliefs about what is possible or not possible;***
- ***Tolerance of and use of irrelevant material as though it were important;***
- ***Involvement;***
- ***Detachment;*** and
- ***The capacity to play with words, meanings, definitions, laws, concepts, and metaphors.***

Although synectic researchers believed that creative problem-solving processes contain underlying psychological processes, they also believed that psychological

processes are nonobservable and must be inferred from behavior. Therefore, they concluded that creativity in problem stating and problem solving cannot be taught to others based on psychological processes.

THE SYNECTICS PROCESS

Synectics research continued with an emphasis on discovering the elements of creative activity that can be defined operationally. From the study of effective, creative problem-solving groups, two elements emerged that consistently drew group members into the prerequisite psychological states for creative problem solving. These two elements, *making the strange familiar* and *making the familiar strange*, comprise the synectics process.

Making the Strange Familiar

The primary task of any problem-solving group is to understand the problem. Making the strange familiar (making the unknown known, reducing uncertainty, and structuring the problem) is a natural response to the unknown. Analysis and observation are the most common forms of making the strange familiar. However, a preoccupation with analysis can constrict the group with too much detail. Most importantly, when used alone, this process produces only superficial and ineffective solutions.

Making the Familiar Strange

As the group gains knowledge and an understanding of the problem, the problem or situation becomes *familiar*. During this second stage, the group's task is to reverse its thinking and *make the familiar strange.* Making the familiar strange is a conscious effort to view the known in different ways. It does not attempt to make the known bizarre but rather attempts to view the known in a slightly out-of-focus manner in order to take a different look at it and to insert new meaning into the problem or situation under consideration.

Gordon (1961) describes four mechanisms or *psychological tools* that groups can use to make the familiar strange.

1. ***Personal Analogy.*** In a personal analogy or *empathic personal identification,* the analyst's psychological detachment is abandoned and one enters into and becomes part of the problem. For example, if one were attempting to solve a problem involving cancer cells, one metaphorically could enter the cancer cell and "become part of the cell" to explore how the cell grows, nourishes itself, and reproduces. Personal identification liberates the problem solver from the problem in terms of its analyzed elements. The process requires the problem solver to completely step out of his or her self and to merge with the problem or situation.
2. ***Direct Analogy.*** Direct analogies compare problems or situations with known facts, knowledge, and technology. Concepts often are borrowed from seemingly

unrelated areas and are used to illuminate parts of the problem. For example, one could draw a direct analogy between closed hydraulic systems and the systemic nature of organizations. Gordon (1961) noted that diversity in the members of the problem-solving group is vital if direct analogy is to be most effective.

3. ***Symbolic Analogy.*** Symbolic analogies utilize symbolic images to present compressed portraits of the elements or functions of a problem. The images are not necessarily technologically correct but do hold meaning for and are satisfying to the viewer. The symbolic analogy is qualitative.
4. ***Fantasy Analogy.*** Fantasy analogies are wish fulfillments. They involve questions such as, "How do you, in your wildest fantasy, want this to work?" The operative principle of a fantasy analogy is *conscious self-deceit*, which means that one must be willing to suspend one's disbelief by assuming that all laws pertaining to an orderly physical and psychological world are no longer valid. Fantasy analogies are particularly effective when used during the first stages of the making-the-familiar-strange phase and are especially useful for bridging the gap between problem identification and problem solving.

Synectics research has determined that problem-solving groups are ineffective without the use of the synectics process and the four psychological tools presented above. Fortunately, the presence of these tools is not an either/or situation. Synectics research has documented that the mechanisms for making the strange familiar and for making the familiar strange can be learned and developed through practice.

A FORMALIZED PROCESS

Synectics®, Inc., of Boston, Massachusetts, contrasts the synectics process with the brainstorming process (Adams, 1979). In brainstorming, group members are encouraged to generate as many potential solutions as they can, regardless of how outrageous, impractical, or crazy they might seem. The cardinal rule of brainstorming is that group members are not allowed to criticize or make fun of others' suggestions during the idea-generating process; evaluation of ideas takes place at a later time. The synectics technique, unlike brainstorming, allows for criticism but in such a way that group members do not feel put down or inhibited.

The process begins with a client, who presents a problem to the group. The group then generates ideas and solutions from which the client will choose one. The group leader or facilitator serves only as a secretary, contributing no solutions and thus feeling no responsibility for the group process or for the outcome. The synectics process is depicted on the following page.

The synectics process has two unique characteristics. First, ideas are not free flowing as they are in a brainstorming session. Rather, a few ideas are produced with the specific goal of meeting the client's needs. Second, criticism is part of the process. The synectics process is designed to make criticism as constructive and as gentle as possible.

Criticisms are presented only after two positive statements about the idea have been made; then they are dealt with immediately. This feedback structure greatly reduces the possibility that there will be inhibitions or bruised egos on the part of the solution-generating group. At the same time, the synectics process is designed to encourage clients to be honest about their reactions to the proposed solutions, which increases the chances that they will be pleased with the end results.

REFERENCES

Adams, J.L. (1979). *Conceptual blockbusting: A guide to better ideas* (2nd ed.). New York: W.W. Norton.

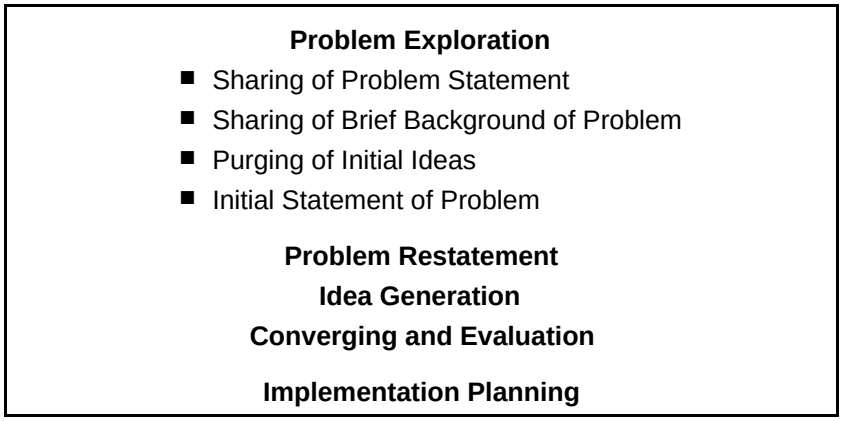
Gordon, W.J. (1961). *Synectics.* New York: Harper & Row.

1. Task Headline	One sentence that invites ideas for action vs. unfocused discussion.
2. Analysis	• Why is this a problem or opportunity? • Give a brief history. • What is your ownership/clientship? • What have you already thought of or tried? • What would you like from this meeting?
3. Springboards	Generate "I wish" and "how to" statements by converting facts, feelings, concerns, opinions, and wishes from the Analysis and previous thinking on the subject.
4. Selection	Client selects a Springboard (or a combination of 2 or 3) to pursue further. a. If a client has an idea for how to do the selection, have client state the idea. (Option: group can add additional ideas.) b. If client needs help, group generates ways to do the selection.
5. Summarize Emerging Idea	Client states emerging idea, incorporating selected ways to accomplish it.
6. Itemized Response	Client's friendly evaluation of the emerging idea: 1. At least 3 plusses (specific, useful elements; advantages); 2. Key concern(s) in "how-to" form (to invite further development of the idea).
7. Modification	Generate ideas for overcoming concerns (one at a time, in order of importance to the client).
8. Restatement As Possible Solution	Client states modified Possible Solution that helps to solve a piece (or pieces) of the original task. The Possible Solution may be checked for: • elements of newness, • enough feasibility, • enough commitment to take a next step.
9. Next Steps	Client lists actions to be taken, specifying: • by whom, • by when.

Synectics®, Inc., Basic Problem-Solving Flow Chart

THE TARGETED-INNOVATION PROCESS

The targeted-innovation (TI) process (Gryskiewicz & Shields, 1983) is an attempt to reconcile creativity with specific, controlled results. Traditionally, managers have not had to concern themselves with employee creativity and innovation. Today, however, change is so rapid and competition so fierce that organizations must adapt and innovate in order to survive. The TI process was developed to assist those managers who are faced with the need to be innovative but who do not know how. Targeted innovation does not allow creativity to diverge indefinitely, but guidelines are set for the innovators to converge on the solutions that will specifically satisfy their needs. The process consists of four stages, which are depicted in the figure below.



The Targeted-Innovation Process

PROBLEM EXPLORATION

During the initial planning meeting, the manager and a facilitator clarify the problem and prepare for the problem-statement meeting, which will include the resource-group participants.

In the problem-statement meeting, the facilitator announces the initial problem statement that was formulated with the help of the manager. The manager then briefly explains just enough of the background of the problem—such as essential information or any previously attempted solutions—to stimulate ideas. The manager then answers any questions from the participants.

During the "purge" session, participants are encouraged to generate the most immediate, spontaneous, and obvious solutions to the problem. In theory, as the

---

Adapted from D.E. Coates, *Targeted Innovation Facilitator's Guide.* Greensboro, NC: Center for Creative Leadership, 1984. Used with permission.

participants state the more obvious ideas, room is created for more creative thinking later on. The manager often can tell from the purge session whether the participants are channeling their thinking in a feasible direction.

PROBLEM RESTATEMENT

Next, the manager and the participants restate the problem from all possible perspectives in order to eliminate the chances that the final solution will be biased or inaccurate. Restating the problem also helps to eliminate the possibility that the group will be attempting to solve the wrong problem. By being phrased differently, the problem often can be made more clear and focused. The facilitator must emphasize that this phase simply concerns itself with problem restatement, *not* with solution generation. The following techniques can help the group to generate a variety of restatements.

- ***Restate the problem in a less-specific manner.*** For example, the initial problem-"How to improve our soap"—could be restated as "How to produce an optimal cleansing product."
- ***Challenge old paradigms.*** During problem solving, it is easy to take traditional ways of thinking and doing for granted and not to consider changing them. The components of the process or product and assumptions about goals often go unchallenged.
- ***Break problems into their individual components.*** Many factors—people, resources, timing, motivation, norms, distribution, and so on—contribute to the existence of a problem. By breaking problems into individual factors, one can address the factors separately, and the true cause of the problems may surface. For example, difficulty in meeting deadlines may have many contributing factors: scheduling, lack of uninterrupted work time, unmotivated employees, insufficient supplies, and so on.
- ***Look for the underlying cause of the problem.*** Using the above example, difficulty in meeting deadlines may be caused not by staff, scheduling, or supplier problems but by the fact that the organization has expanded too rapidly and needs to scale down its product lines.
- ***Dream.*** Allowing a problem-solving committee or task force to fantasize about ideal situations with no limits can trigger both insights into the problem and creative ideas for later solutions. There may be a way to make at least part of a dream come true.

When the group has generated at least a dozen restatements of the problem, the manager selects or combines one or more to create an appropriate restatement of the problem—one in which the group is interested and that is workable—on which the group can focus and begin to generate solutions.

IDEA GENERATION

During this stage, the group works to generate a number of ideas about the problem statement. This period of creativity is known as *brainstorming*, which is an idea-generation process with specific rules: quantity is more important than quality; criticism is not allowed; analysis or judgment of others' ideas is forbidden; and free association and "piggybacking" on others' ideas are encouraged. The facilitator encourages the group to take risks, to suggest seemingly wild or outrageous ideas, and to build on ideas without restriction. Brainstorming is an integral element of the targeted-innovation process.

CONVERGING AND EVALUATION

When a sufficient number of ideas have been generated, it is time to evaluate the various options. This usually is done by the manager with the facilitator's help. If there are ideas or concerns about which the manager seeks clarification, the resource group can be asked to consider them as new problems. During this stage, the manager attempts to choose solutions after all options have been explored and analyzed.

IMPLEMENTATION PLANNING

Once a solution has been selected, it must be implemented. The resource-group participants supply the manager with all problem restatements and ideas for solutions. Often, the manager will confer with the participants in order to obtain any unrevealed or late-surfacing ideas.

REFERENCES

Coates, D.E. (1984). *Targeted innovation facilitator's guide.* Greensboro, NC: Center for Creative Leadership.

Gryskiewicz, S.S., & Shields, J.T. (1983, November). Targeted innovation. *Issues & Observations,* pp. 1-5.

- **Problem-Exploration Meeting**
  - Client-Facilitator Planning
  - Determine Initial Problem Statement
- **Idea-Generation Meeting**
  - Problem Statement Shared with Resource Group
  - Brief Background Shared
  - Purge of Initial Ideas
  - Problem Restatements
  - Idea-Generation Technique Used
- **Converging and Evaluation**
- **Implementation**

The Targeted-Innovation Process

CONFLICT-RESOLUTION STRATEGIES

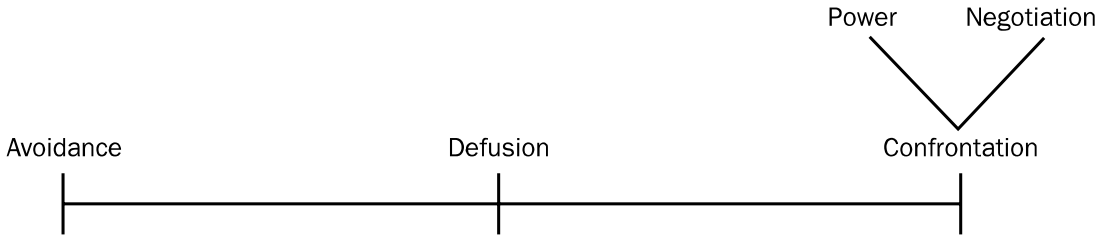
Conflict is a daily reality for everyone. Whether at home or at work, an individual's needs and values inevitably come into conflict with the needs and values of others. Some conflicts are relatively minor, easily handled, and simply overlooked. However, other conflicts are of greater magnitude and require a strategy for successful resolution.

The ability to resolve conflict successfully probably is one of the most important social skills an individual can possess. Yet, there are few formal opportunities in our society to learn conflict-resolution skills. Conflict- resolution skills can be learned; and like other skills, they consist of a number of subskills, each separate and yet interdependent. Conflict-resolution skills need to be integrated at both cognitive and behavioral levels (i.e., Do I understand how conflict can be resolved? Can I resolve specific conflicts?).

RESPONSES TO CONFLICT SITUATIONS

We develop our own preferred approaches for dealing with conflict when we are children. Even if our preferred approaches do not resolve conflicts successfully, we continue to use them because we lack awareness of alternatives.

Conflict-resolution strategies can be classified into three categories: *avoidance*, *defusion*, and *confrontation.* The accompanying figure illustrates that avoidance is at one extreme and confrontation is at the other extreme of a continuum.



A Continuum of Responses to Conflict Situations

Avoidance

Some people attempt to avoid certain types of conflict situations or avoid conflict situations altogether. These people tend to repress emotional reactions, look the other way, or withdraw from a situation entirely. For example, one may resign from a job, leave school, or become divorced. The person either cannot face the situation effectively or does not have the skills to resolve the conflict situation effectively.

Although avoidance strategies have survival value in those instances in which escape is possible, they usually do not provide the individual with a high level of satisfaction. Avoided conflict situations often result in doubts and fear about meeting similar situations in the future and about such valued traits as courage or persistence.

Defusion

Defusion essentially is a delaying tactic. Defusion strategies attempt to tone down and cool off the situation, at least temporarily, or to keep the issues so unclear that attempts at confrontation are unlikely. Resolving minor points while avoiding or delaying discussion of major issues, postponing confrontation until a more favorable time, and avoiding clarification of the prominent issues underlying the conflict all are examples of defusion tactics. As with avoidance strategies, defusion tactics often work when delay is possible. However, such tactics typically result in feelings of dissatisfaction, anxiety about the future, concerns about oneself, and decreased self-esteem.

Confrontation

The third major conflict-resolution strategy involves confronting conflicting issues or persons. Confrontation can be subdivided into *power* and *negotiation* strategies. Power strategies include the use of physical force (i.e., a punch in the nose); bribery (i.e., money and favors); and punishment (i.e., withholding love, money). Power tactics often are very effective from the point of view of the "winner" or "successful" party in the conflict. Unfortunately, the real conflict may have only just begun. For the "loser," getting even, hostility, anxiety, and actual physical damage frequently are the residual effects of win-lose power tactics.

Negotiation strategies, unlike power confrontations, present opportunities for both sides to win. The objective of negotiation is to resolve the conflict with a compromise solution that is mutually satisfying to all parties involved in the conflict. Of the three conflict-resolution strategies, negotiation seems to provide the most positive and the least negative residuals.

NEGOTIATION SKILLS

Successful negotiation requires skills that must be learned and practiced. These skills include:

- the ability to *diagnose* the nature of the conflict;
- effectiveness in *initiating confrontation*;
- the ability to *listen* and willingness to hear another's point of view; and
- the ability to make use of *problem solving* processes in bringing about a consensus decision.

Diagnosis

Diagnosing the nature of a conflict is the starting point for any attempt at conflict resolution through negotiation. The most important issue that must be decided is whether the conflict is a values-driven (ideological) conflict, a "real" (tangible) conflict, or some combination of both. Value conflicts are extraordinarily difficult to negotiate. If, for example, one party to the conflict believes that women should be treated as equals in every phase of public and private life, and another party believes that women should be prohibited from performing certain activities, it would be difficult for both parties to arrive at a mutually agreeable solution.

However, differing values are significant only when conflicting views affect the parties in some real or tangible way. As an example, if one's values regarding women's rights results in a woman being denied employment for which she is qualified and that employment is desired by her, then there is basis for a negotiable conflict. Neither party needs to change his or her personal values in order to reach a mutually acceptable resolution on the tangible issue. Notwithstanding, if each opposing party stands on value laden principles and maintains a value conflict, the likelihood of resolution is minimal. But if the conflicting parties focus on the tangible effects within the conflict, they may be able to negotiate a realistic solution.

The Israeli-Arab conflict provides a good example of this point. In order to resolve a tangible element within the conflict—i.e., who gets how much land—the ideological differences between Israelis and Arabs need not be resolved. Land usage is the tangible element of the conflict that is amenable to a negotiated settlement.

Critical diagnostic skill is an ability to determine whether a conflict is a real (tangible) or a value conflict. If the conflict is a conflict in values resulting in nontangible effects on either party, then it is best tolerated. However, if tangible effect exists, then the tangible elements can be resolved.

Initiation

The second conflict-resolution skill is effectiveness in initiating confrontation. Confrontation does not mean attacking or demeaning the opposing party. Attack almost always elicits a defensive reaction that blocks a quick resolution of differences. A more effective way of confronting is for one party to state the tangible effects that the conflict has on him or her. For instance, "I have a problem. Due to your policies on hiring women as executives, I am unable to apply for the supervisory position that I feel I am qualified to handle." Stating tangible effects is more effective than saying, "You male chauvinist pig; you're discriminating against me!" In other words, confrontation is not synonymous with verbal attack.

Listening

After confrontation has been initiated, the confrontor must be willing and able to listen to the confrontee's point of view. If the confrontee's initial response is not what the

confrontor had expected to hear, defensive reactions within the confrontor can follow. Argument-provoking replies should be avoided at all costs. The confrontor should not attempt to "defend" himself or herself, explain a particular position, or make demands and threats. Instead, the confrontor must be able to engage in a skill termed *reflective* or *active listening.*

In reflective listening, the confrontor listens, reflects back, and clarifies the confrontee's position. When the confrontor has interpreted the conflicting position to the satisfaction of the confrontee, then the confrontor should again present his or her own point of view, being careful to concentrate on tangible outcomes and avoid value-laden statements. Usually, when people listen to one another, defenses are lowered and both parties become more receptive to other points of view. When both parties are skilled in reflective listening, the likelihood of successful negotiation is greatly enhanced.

Problem-Solving

The final skill necessary for successful negotiation is the use of *problem-solving processes* to negotiate a consensus decision. The steps in this process are simply stated and easy to apply. They are:

- ***Clarifying the problem***, identifying tangible issues, and determining where each party stands on the issue.
- ***Generating and evaluating possible solutions.*** Realistically, generating and evaluating alternative solutions should be done in two steps. First, all possible solutions should be surfaced in a brainstorming session, and, second, each proposed alternative should be evaluated.
- ***Deciding together which is the best solution.*** The one solution most acceptable to both parties should be chosen. This is a consensus—not a voting—process.
- ***Planning the implementation of the solution.*** How and when will the solution be carried out?
- ***Planning for an evaluation*** of the solution after a specified period of time. The last step is essential because the first solution chosen is not always the best or most workable. If the first solution has flaws, the problem-solving process should be begun again at step 1.

Because negotiation is the most effective of all conflict-resolution strategies, the skills necessary to achieve meaningful negotiation are extremely important in facing inevitable conflicts.

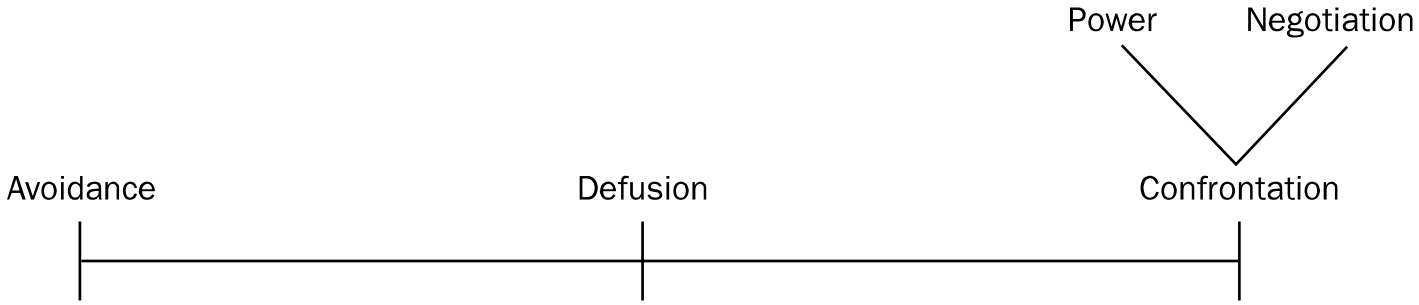
REFERENCES

Gordon, T. (1971). *Parent effectiveness training.* New York: Peter H. Wyden.

Wiley, G.E. (1973). Win/lose situations. In J.E. Jones & J.W. Pfeiffer (Eds.), *The 1973 annual handbook for group facilitators.* San Diego, CA: University Associates.

SOURCE

Stepsis, J.A. (1974). Conflict resolution strategies. In J. W. Pfeiffer & J.E. Jones (Eds.), *The 1974 annual handbook for group facilitators.* San Diego, CA: University Associates.



A Continuum of Responses to Conflict Situations

MANAGING CONFLICT FROM THE INSIDE OUT

Marc Robert's (1982b) system for managing conflict is based on the premise that strife is best handled by those who have a clear sense of themselves. Therefore, the key to conflict management is self-awareness. Robert suggests strategies for dealing with interpersonal conflict. These strategies include advice on how to avoid becoming embroiled in unproductive conflict, how to handle unavoidable conflict, how to use power and problem solving in managing conflict, and how to help others handle conflict. Finally, he offers some ideas about what to do when you are the loser in a conflict.

SELF-AWARENESS: THE KEY TO CONFLICT MANAGEMENT

We cannot trust ourselves in conflict situations because the stress we experience usually short-circuits rational responses. But the more people learn about how they *might* react to controversy, the greater the chances to act appropriately. Still, the requirement to examine oneself can make one uncomfortable. When one pushes through the discomfort, however, the payoff is a more self-confident and hassle-free lifestyle.

For those of us who are not "naturals" at handling conflict, Robert recommends four pathways to self-awareness:

Pathway 1: Intrapersonal awareness. When you are faced with conflict, there is usually a conversation going on inside you. Pay attention to it. If the person with whom you are in conflict can predict your responses better than you can, you are seriously handicapped in emotionally charged situations. To become more aware of your feelings, practice listening to yourself during emotional moments. Avoid lying to yourself or denying your true emotions when you are involved in a conflict.

Pathway 2: Scanning others for clues about ourselves. Redevelop your radar, which may have atrophied from disuse and self-protection. Look for subtle changes in the voices, facial expressions, or body language of others. Pay special attention to people who are not intimidated by you. Analyze reactions to your clothing, adornment, and grooming. Experiment with different (not bizarre) behaviors. Pay attention to the teasing you receive.

Pathway 3: Seeking feedback from others and practicing self-disclosure. Feedback prevents us from judging ourselves by our intentions while others judge us by our behaviors.

Pathway 4: Formal and informal behavioral appraisal. Behavioral-science instruments provide self-knowledge by a procedure that is less demanding than those mentioned above. The following two instruments are useful:

The Thomas-Kilmann Conflict Mode Instrument (CMI) (Thomas & Kilmann, 1974), which measures relative use of five conflict-handling modes in situations in which one's wishes differ from those of another person.

The Conflict-Management Style Survey (CMSS) (Robert, 1982a), which reveals a person's style of response to everyday conflict. Robert's book (1982b) includes the CMSS and activities to help respondents to share results.

HOW TO AVOID BECOMING EMBROILED IN UNPRODUCTIVE CONFLICT

We all know people who seem to spend their lives embroiled in conflict. These people probably are doing exactly what they need to do, given their perceptions of reality. Conflict can help to clarify issues, strengthen relationships, solve problems, and enrich our lives. However, conflict also can be unproductive and destructive. Following these rules can help to avoid unproductive conflict:

1. ***Know the difference between your principles and your preferences.*** Refuse to "sweat the small stuff."
2. ***Test your expectations against reality.*** When we expect more than others are prepared to give, we run the risk of unwarranted conflict.
3. ***Save and spend trust credits.*** In the give-and-take of human relations, accounts of trust and credibility credits are slowly built up. Everyone in an inequitable relationship feels uneasy. When trust accounts are out of balance, the potential for unproductive conflict increases.
4. ***Handle criticism as a live bomb.*** Our species has not evolved enough to accept criticism gracefully. Therefore, consider these cautions:
   - Examine your intent before you criticize.
   - Study the potential recipient's vulnerability.
   - Consider modeling the desired change instead.
   - Describe behavior *without* a value judgment.
   - Wait five minutes; the critical urge may pass.
   - Criticize kindly and constructively.
5. ***Practice the power of optimism.*** Emulate the behavior of cheerful people. Most people with whom you are in conflict want to stop hurting just as much as you do. When involved in a game of "ain't it awful," work to change the focus.
6. ***Be aware of personal-growth hazards.*** Ironically, pursuit of self-knowledge to improve relationships may put us so far "into ourselves" that we lose sensitivity. Examine what is happening; become aware of the responsibilities of living among others.

7. ***Recognize day-to-day conflict traps.*** Avoid stressors, such as:
   - crowding in the home or work environment;
   - overstimulation by telephones, odors, etc.;
   - rushing to meet time binds;
   - concerns regarding physical safety;
   - problems with transportation;
   - living beyond one's financial means;
   - overcommitment to projects and people; and
   - failure to look after your own physical health.
8. ***Avoid assumptions.*** The human mind refuses to stay empty in spite of lack of information. Consider what you do when you are unclear about an interpersonal message.
9. ***Sensitively anticipate destructive conflict.*** Avoid incipient conflicts by sharing information and negotiating expectations, by defining roles, and by renegotiating roles as necessary.

HOW TO HANDLE UNAVOIDABLE CONFLICT

Regardless of what we do to minimize conflicts, we are faced with disruptions. The following techniques can help in coping with them:

- ***Systematic Desensitization.*** Perform relaxation techniques, vividly imagine the impending conflict until you become tense, and then resume the relaxation techniques. Repeat until the crisis has passed.
- ***"Psyching Down" Through Relaxation.*** Condition yourself to relax when crises are imminent.
- ***Centering and Self-Monitoring.*** When conflict strikes, ask yourself whether you are in touch with your inner emotions, whether you are focused on the here and now rather than what might or already has happened, and whether your body language expresses control of yourself.
- ***Putting It in Perspective.*** Believing that "this, too, shall pass" can be liberating. Situations rarely turn out as badly as anticipated.
- ***Examining Ogres.*** The worst ogres are in our minds. Identifying and exploring the worst-case scenario can restore emotional equilibrium.
- ***Thought Stopping or Diversion.*** By rationally blocking anxiety-producing thoughts, we can restore our emotional equilibrium. Some behaviorists suggest placing a rubber band on one's wrist and snapping it to cause pain when unwanted thoughts appear.

Conflict often involves anger. We can deal positively with our own anger by understanding that its source almost always is a perceived threat. We can effectively confront the anger of others by not allowing it to hook us into conflicts that are none of our business; by recognizing the futility of attempting to dissolve fear or anger in others through logic; by stating what we feel and want as clearly and pleasantly as possible; by being reasonable but sticking to our principles; by training ourselves to renege on statements made in the heat of anger; by ignoring abuse and responding only to reasonable statements; and by avoiding escalation.

Robert recommends fourteen strategies for communications that involve conflict:

1. Avoid being judgmental.
2. Deal with present behavior rather than past or potential injustices.
3. Pay attention to the nonverbal content of communication.
4. Use "I" messages that describe behaviors, feelings, and effects; e.g., "When I did not receive a call back from you, I feared that the deal was off," not, "You never return calls."
5. Practice strategic openness about feelings.
6. Choose your words carefully.
7. Allow the other party to withhold information about feelings, which paradoxically often makes disclosure safe for the other person.
8. Restate what the other party says.
9. Actively listen to the other party.
10. Use questions of clarification; avoid accusatory questions.
11. Break the interruption habit by using silence and delayed response.
12. Do not fear to tell others that they are correct about something.
13. Avoid interpreting the motives of others.
14. Refrain from giving advice.

Conflict sometimes leads to violence. Learn to recognize the signs of potential attack. Identify avenues of escape. Respect other's positions and refrain from escalating passions; maintain nonthreatening body posture; speak calmly, firmly, and soothingly; do not touch a potentially violent person; suggest a move to a more spacious environment; listen intently to your adversary; refrain from mind reading; use distracting questions to defuse violent energy; and begin with the least aggressive methods.

If all else fails, some high-risk methods may head off violence. Although it may be best and most appropriate to keep humorous insights to oneself, sensitively and well-delivered humor can defuse a conflict. Hard-shock methods (such as yelling and using words like "stop," "shutup," or "that's enough") may startle the other person and prevent escalation, but they are risky. Dire predictions regarding the conflict (such as "Do you want to end up in jail?") may interrupt the situation long enough to restore sanity.

Finally, if you have exhausted all your resources to no avail, leave the scene with as much dignity as you can muster.

HOW TO USE POWER AND PROBLEM SOLVING IN MANAGING CONFLICT

The use of power per se is neither good nor bad. How to use power depends on several circumstances, including what kind of power is being considered. Robert identifies eight types of power:

1. Natural power, which is derived from attributes, such as beauty, size, strength, intelligence, and wisdom.
2. Acquired power, which is obtained by study, hard work, and so on.
3. Top-dog or parent power, the power of domination. (This form of power is abused, resented, and resisted.)
4. Force or coercive power, whose results are risky and unpredictable.
5. Underdog or "helpless" power, achieved by destructive, manipulative resistance, diversion, and delay.
6. Independence power. Others control us only by controlling what we want.
7. Interdependence power, the power derived from the support of friends.
8. Self-confidence power, which helps us manage conflict in ways that enable us to feel good without having to make others feel bad.

Robert suggests two specific methods to solve problems:

1. ***Practice Problem-Centered Self-Talk.*** Send yourself the following problem-focused messages:
   - Self-Talk Message 1: "This is a situation that needs careful attention. How can I (we) work it out?"
   - Self-Talk Message 2: "There is always something that I (we) can do that will work better than this mess we are in now."
   - Self-Talk Message 3: "They [whomever you are in conflict with] are doing exactly what they need to do. I can control only what I do."
2. ***Practice the Six-Step Problem-Solving Process:***
   - Step 1: Define the problem.
   - Step 2: Clearly state what you think.
   - Step 3: Generate possible solutions.
   - Step 4: "Reality test" each solution.
   - Step 5: Make a "what-if" contingency plan.
   - Step 6: Do it.

HOW TO HELP OTHERS HANDLE CONFLICT: BEING AN EFFECTIVE THIRD PARTY

Most of us are untrained as peace makers. Nevertheless, as parents, friends, lovers, family members, bosses, and colleagues, we are asked to help others work out their conflicts. Before becoming involved, determine whether you have the resources to be helpful, whether it is too late to be of help, whether the parties could resolve the conflict better on their own, whether your intervention is desired, and whether it feels right to meddle.

If you do intervene, recognize the limits of your power and your own vulnerability. As referee, confer one-on-one with each side to obtain an accurate picture of the conflict. Often, disputants are not equally powerful, so balance power through ground rules on matters such as "equal air time." Negotiate on neutral turf and allow both parties adequate time to prepare. Determine early whether each party is motivated to resolve the conflict. Then help them to identify points of agreement, so that they can make at least one positive connection. Make sure that an alternate third party is available, if the dispute will be protracted. You may not always be available, and the alternate mediator could keep the peace process on track.

As manager of the communication, try this seven-step process of mediation:

1. Elicit a suggested solution to the problem from one of the disputants.
2. Check the suggested solution with the other party.
3. Elicit and check out proposals until both parties agree on a course of action.
4. Work out details of the plan and obtain implementation commitments.
5. Closely monitor the follow-through and make alternate plans as needed.
6. Do not despair if agreement is not reached; look at alternatives.
7. Persist; don't give up.

WHAT TO DO WHEN YOU LOSE

The law of averages guarantees an occasional interpersonal defeat. Defeat is a stressful experience. For these occasions, Robert recommends one or more of the following coping strategies:

1. Physical activity—aerobic exercise—to relieve stress.
2. Thought control, e.g., positive denial, healthy distraction, altered perception, acceptance (not toleration), reprograming belief systems, patience, and learning from mistakes.
3. Let go of negative thought patterns and stressful emotions.
4. Social and environmental nurturing by distancing oneself from the problem; seeking relief by enjoying pleasant sights and sounds, diversifying interests, or seeking the support of friends.

REFERENCES

Thomas, K.W., & Kilmann, R.H. (1974). *Thomas-Kilmann conflict mode instrument.* Tuxedo, NY: Xicom.

Robert, M. (1982a). Conflict-management style survey. In J.W. Pfeiffer & L.D. Goodstein (Eds.), *The 1982 annual for facilitators, trainers, and consultants.* San Diego, CA: University Associates.

SOURCE

Robert, M. (1982b). *Managing conflict from the inside out.* San Diego, CA: University Associates.

Eye Contact

Avoidance; shifty eye movements — Hard and unblinking stare

(Practice focusing on various parts of a person's face until you become comfortable with direct eye contact. From four feet away, people cannot tell where you are looking.)

Facial Expression

Misfit with verbal message — Perfect fit with verbal message

(Some people smile when they are angry, talk about happiness with a pained look on their faces, or have no expression at all. If you are to be taken seriously, there must be some consistency between your face and your words.)

Gestures

Hardly any movement — Extreme animation

(Movement of the body must also match the verbal message. Inappropriate gestures can confuse and distract. When in doubt, be economical with your movements. Be aware also of excessive coughing, blinking, and other mannerisms that may cause confusion or misinterpretation of the message.)

Body Orientation

Slumped and leaning-away stance — Direct, face-to-face, head-on stance

(A modified frontal stance angled about 20 degrees from face-to-face posture seems to be most acceptable for confrontation that reflects assertiveness but not belligerence or passivity.)

Continuua for Self-Ranking Nonverbal Behaviors

MANAGING INTERGROUP CONFLICT

Various subgroups of organizations are prone to conflict with one another. The divergent interests and perspectives of unions and management obviously lead to controversy. Departments at the same or different levels of an organization often engage in struggles over resources or rewards. In large, multiunit organizations, there are inherent differences that lead to strife between headquarters and field units. Mergers and acquisitions sometimes create disharmonious marriages between unequally powerful and previously independent organizations. The age, gender, political, ethnic, and racial cleavages of our society often are expressed in organizations as informal subgroup allegiances that result in friction.

If organizations are to be effective, it is imperative that they deal with the omnipresent intergroup conflicts. Robert Blake, Herbert Shepard and Jane Mouton (1964) developed a theory to analyze intergroup conflict.

NINE CLASSIFICATIONS OF CONFLICT RESOLUTION

Blake, Shepard, and Mouton's (1964) theory categorizes intergroup conflict into nine classifications of likely conflict resolution. According to the theory, feuding groups choose from the nine methods to resolve their disagreements, in accordance with their basic assumptions about the conflicts. The theory posits that parties will base their assumptions about a conflict on two factors, their *orientation* toward the conflict and the *importance* of the issues involved. The theory encompasses three levels of conflict importance and three possible orientations to the conflict. Taken together, the two factors account for the nine different classifications of possible conflict resolution.

Three Levels of Importance

The three levels of conflict importance are:

- ***High-payoff conflicts,*** in which the participants are actively involved;
- ***Moderate-stakes conflicts,*** in which the participants are moderately involved; and
- ***Low-payoff conflicts,*** in which participants are only passively involved.

Three Orientations

Depending on the level of importance the groups give to the controversy, each of the three orientations can lead to one of three different modes of conflict resolution. The orientations and their associated resolutions follow:

Orientation I. The clash can not be avoided and agreement is unattainable. If disputing groups view the conflict as unavoidable and irreconcilable, it is likely that they will assume that the disagreement will be resolved by a decision in favor of one party and against the other.

For example, the hypothetical Riverdale and Jefferson campuses of the University of the State of Lincoln are vying to become the location for an institute to research and develop supercomputer technology. Both divisions of the university want to establish the new activity in order to build reputation, to maintain employment, to attract other grant funds, and to provide promotional opportunities for personnel. Each campus has prepared presentations to the state university's board of regents, touting its own competitive advantages. Community leaders in the two potential locales have supported the proposals, offering to donate municipal land for the construction and proposing to build access roads. A favorable outcome for both campuses is mutually excluded, because there will be only one center. This is the classic zero-sum game; if I win, you lose, and vice versa.

Under this orientation, there are three possible resolutions:

1. One side will lose a winner-take-all fight over a *high-payoff* conflict. In the example, both campuses could invest substantial discretionary resources in proposals and public relations campaigns to lobby for a decision that the university's board of regents will make in favor of only one campus.
2. A third party will adjudicate a *moderate-stakes* dispute in favor of one party or the other. If the two university administrations will be only moderately affected by the outcome but still cannot agree between themselves, they might seek an early decision by an impartial board of regents study group, thus saving one of the campuses the expense of unnecessary plans and proposals.
3. The parties will allow fate to determine the outcome of a *low-payoff* conflict. If the university's administrations perceive that they have little to gain or lose, they might make little or no effort to influence the decision. The decision by the regents would almost—but not quite—be a flip of a coin. The regents probably would study the decision systematically, but from the point of view of the two university administrations, the decision would be left to chance.

Orientation II. The clash can be avoided because the groups can act independently. In this situation conflict is avoidable, but the two parties will be unable to agree on a resolution.

For example, each of two identical refineries of a major petrochemical company acts autonomously in its market. In this case, the engineering departments of the two refineries disagree about the schedule for modernizing certain equipment. The management of one refinery claims that it would be a better strategy to postpone introducing more efficient equipment until the following fiscal year when interest rates for the needed capital are predicted to decline, even though the delay will diminish near-term profits slightly. The management of the other refinery believes that the greater

efficiency will decrease costs sufficiently to offset the higher interest costs. Engineers for both refineries concede that it is impossible to predict how efficiently the new equipment will work until it is actually installed. Financial analysts for both sides also concede that the anticipated decline of interest rates is by no means guaranteed. Hence, neither side of the controversy can predict how much money the new process will save and how much its immediate installation could compensate for extra interest costs. However, it is known that the dispute cannot be settled by a compromise; at either refinery the equipment will be installed this fiscal year or it will not.

This orientation also permits three possible resolutions:

1. One of the groups can defer to the other, if the *payoff is high* but interdependence is unnecessary. Blake, Shepard, and Mouton (1964) characterize this outcome as a form of "withdrawal." One of the two refineries' managerial staffs might simply decline to contest the analysis of the other staff. Thus, any company-wide decision about installing the new equipment would be influenced solely by the other group.
2. The parties of the conflict can be kept apart in a situation of only *moderately high payoff*. It may be decided that the two refineries can act independently on the issue of introducing the new equipment. In effect, the company would thereby decentralize the decision about which strategy is correct. The two refineries might make different decisions about introducing the equipment. To the extent that the refineries are truly independent, this state of affairs might reduce conflict without doing great harm to the overall business.
3. When decision *payoffs are low,* the parties might resolve a conflict by acting indifferently to the disagreement. For instance, the two refineries could ignore their difference regarding the best economic strategy for modernizing the equipment.

Orientation III. The clash can be resolved in the context of interdependence. The participants view the conflict as one for which agreement is possible, although the conflict definitely exists.

For example, a labor union and management may disagree about the type of medical benefits to be provided under the upcoming contract. The members of the union have voted to strike if the organization will not agree to an insurance plan under which the members can choose their own physicians and make reimbursement claims against the policy. Management, on the other hand, is adamant that the organization continue using its apparently less expensive, prepaid health plan, which requires members to see the physicians and specialists on duty at a clinic.

The third orientation also allows three possible resolutions:

1. The parties to the conflict can come up with a solution that is advantageous to both parties, if the *payoffs are sufficiently high* to encourage creative problem solving. Ideally, this is the "win-win" outcome. For instance, instead of either medical plan by itself, the two sides might agree on a "wellness in the

workplace" plan. The plan might be structured to give the employees a medical-insurance policy with an employee deductible that makes the premium affordable for the company. Alternatively, the plan might retain the less expensive prepaid medical provider. In a third alternative, employees might have a choice between the affordable insurance and the prepaid medical care. However, under all three options, the deal would be sweetened for the employees by providing company time to participate in health activities, such as stress-management workshops, aerobic exercise, safety courses, and stop-smoking programs. The company wins under this program, too, because healthier employees might be both more productive and less costly as health-insurance risks.

2. The parties could arrive at a compromise decision that "splits the difference," if the issue offers both sides only *moderately high payoffs.* The labor-management dispute might be solved by contracting for a medical insurance plan with a higher employee contribution than the union wanted. This way both sides give up something to get something. The company has to pay more for medical benefits than it wished, and the union has to convince its members that they are better off paying somewhat more of their own money in order to have a choice of physicians. Under a compromise, both sides get less than they wanted but both sides get a decision with which they can live.
3. If the *payoffs are low,* the parties can make a *de facto* compact to agree to disagree. In effect, they will smooth over their differences in the interests of peaceful coexistence. The negotiations between the company and the union could focus on issues other than the medical plan, which both sides regard as a relatively trivial matter. The union negotiators might get more important concessions in other areas, which allow them to convince their members to overlook their discontent with the medical benefits. While the union is free to raise the medical benefits issue in a subsequent negotiation, for now both sides have agreed that the issue is less important than the other issues on which they have agreed.

SUMMARY: A CONFLICT-RESOLUTION MATRIX

In summary, there are nine possible ways in which the three conflict orientations and three levels of conflict importance can be combined. According to the theory, each of the nine possible conflict resolutions corresponds to one of the nine combinations of conflict orientation and importance depicted by the matrix on the next page.

REFERENCE

Blake, R.R., Shepard, H.A., & Mouton, J.S. (1964). *Managing intergroup conflict in industry*. Houston, TX: Gulf.

	Payoffs High	Moderate Stakes	Payoffs Low
Conflict cannot be avoided, and disagreement is certain.	Fight to the death. Winner takes all.	Obtain mediation by a third party.	Agree not to resolve the issue; leave outcome to fate.
Conflict can be avoided, but disagreement is still certain.	One groups leaves the field of battle.	Keep the parties apart.	Be indifferent.
Conflict exists, but agreement is attainable.	Solve the problem.	Compromise.	Smooth over the difference.
	ACTIVE SOLUTIONS	**MIDDLE-OF-THE-ROAD SOLUTIONS**	**PASSIVE SOLUTIONS**

Most Likely Resolutions of Intergroup Conflict

From R.R. Blake, H.A. Shepard, & J.S. Mouton (1964). *Managing Intergroup Conflict in Industry*, Houston, TX: Gulf. Used with permission

---

From R.R. Blake, H.A. Shepard, & J.S. Mouton (1964). *Managing Intergroup Conflict in Industry*, Houston, TX: Gulf. Used with permission.

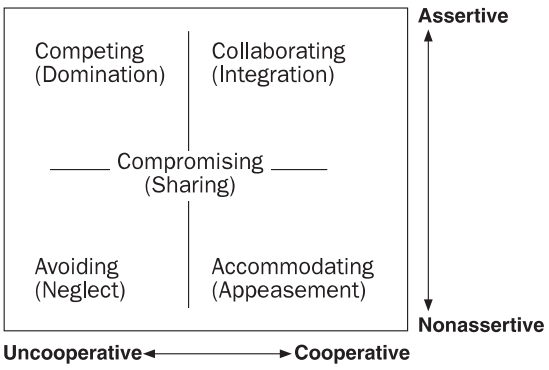
MODES OF CONFLICT

Thomas (1976) defines conflict as the "process which begins when one party perceives that the other has frustrated, or is about to frustrate, some concern of his" (p. 891). *Concerns* in this sense refer to needs, wants, and values. Thus, "conflict situations" are situations in which the needs, wants, or values of two parties clash or in some way interfere with each other.

Thomas (1976) argues that conflict itself is not harmful. It can be made helpful or harmful, however, depending on how one handles and responds to the conflict. Similarly, Thomas and Kilmann (1974) theorize that all reactions to conflict stem from two general impulses: (a) the desire to satisfy personal concerns, which is manifested as *assertive* behavior, and (b) the desire to satisfy the concerns of others, which is manifested as *nonassertive* behavior. These two behavioral dimensions provide the foundation for what Thomas and Kilmann call *conflict-handling* modes.

FIVE BASIC REACTIONS TO CONFLICT

Thomas and Kilmann (1974) discovered that people react in one of five basic ways when faced with interpersonal conflict: by *competing, collaborating, compromising, avoiding,* or *accommodating.* Working from research by Thomas (1976) and by Blake and Mouton (1964), Thomas and Kilmann developed a figure that illustrates these behaviors. The five behaviors are arranged along two dimensional axes: from *assertive to nonassertive* and from *cooperative to uncooperative.* The figure below depicts the two dimensions and the various responses to conflict.



Modes of Handling Conflict

This two dimensional model of conflict-handling behavior is adapted from "Conflict and Conflict Management" by Kenneth Thomas in *The Handbook of Industrial and Organizational Psychology*, edited Marvin D. Dunnette. New York: John Wiley & Sons, 1983. Adapted and used with permission of Marvin D. Dunnette.

Competing

The competitive style is characterized by a desire to satisfy one's own concerns at the expense of others. Competitively oriented people often act in an aggressive and uncooperative manner. Win-lose power struggles and attempts to dominate are common. The opposite of the competing mode is the accommodating mode.

Collaborating

The collaborative style is characterized by a desire to satisfy both parties' concerns in a dispute. People with a collaborative orientation tend to demonstrate highly assertive and highly cooperative behavior. Collaborative people value mutual benefit, integration, and win-win solutions. The opposite of collaborating is avoiding.

Compromising

The compromising style is an intermediate, "middle-of-the-road" approach to conflict. Compromising people are satisfied if both parties in a dispute achieve moderate—if perhaps incomplete—satisfaction. Each side gives up something to gain something in exchange. A person who practices the collaborative style neither fully avoids the problem nor fully collaborates with the other party. The compromising mode is at the midpoint of both the cooperativeness and the assertiveness scales.

Avoiding

People who practice the avoiding style tend to behave as though they were indifferent both to their own concerns and to the concerns of others. The avoiding orientation often is expressed through nonassertive and uncooperative behavior. Avoiders prefer apathy, isolation, and withdrawal to facing conflicts. They tend to rely on fate to solve problems instead of trying to make things happen.

When faced with a potential conflict, an avoider might seek to distract attention from the issue or might attempt to ignore the issue entirely. Depending on the circumstances, this behavior can be perceived either as evasive or as effective diplomatic maneuvering.

Accommodating

People who favor the accommodating style are more concerned with pleasing others than with meeting their own needs. They tend to be nonassertive and cooperative. People who practice this style of conflict management sacrifice their needs and desires in order to keep the peace and to make others happy.

According to Thomas and Kilmann, people are not locked into one style of conflict management and potentially can utilize all the styles. However, individual differences and experiences tend to make each person more comfortable with one or two styles; these styles, therefore, are the ones that the person is most likely to employ.

THE INSTRUMENT

Thomas and Kilmann (1974) developed the *Thomas-Kilmann Conflict Mode Instrument* to assess people's preferred modes of response to conflict situations. The instrument[1] consists of thirty forced-choice questions. Each question deals with how respondents believe they would behave in conflict situations. The instrument is self-scored and provides immediate feedback to each respondent.

CONFLICT-MODE RELATIVITY

Thomas and Kilmann believe that none of the conflict-handling modes are inherently superior to the others. Just as some leadership theories have suggested that the efficacy of various management styles is determined by situational variables, the model recognizes that the appropriate mode of response to a conflict will vary with the circumstances. The table on the next page summarizes some characteristics of people who favor each of the modes and gives examples of situations for which each mode would be appropriate.

CONFLICT-MODE VERSATILITY

Most people could benefit from greater flexibility in their responses to conflict situations. Versatility improves negotiating skills and enables people to cope with many kinds of conflicts—and is helpful for getting what one wants from others. Even if one feels unable to alter one's predominant style of handling conflict, one often can negotiate successfully if one can choose the person with whom to negotiate. For example, an accommodating person should select his or her used-car dealer with great care. On the other hand, that same accommodating person could be very successful in legislative lobbying or in public relations.

REFERENCES

Blake, R.R., & Mouton, J.S. (1964). *The managerial grid.* Houston, TX: Gulf.

Thomas, K.W. (1976). Conflict and conflict management. In M. Dunnette (Ed.), *Handbook of industrial and organizational psychology* (Vol. 2). New York: John Wiley & Sons.

Thomas, K.W., & Kilmann, R.H. (1974). *Thomas-Kilmann conflict mode instrument.* Tuxedo, NY: Xicom.

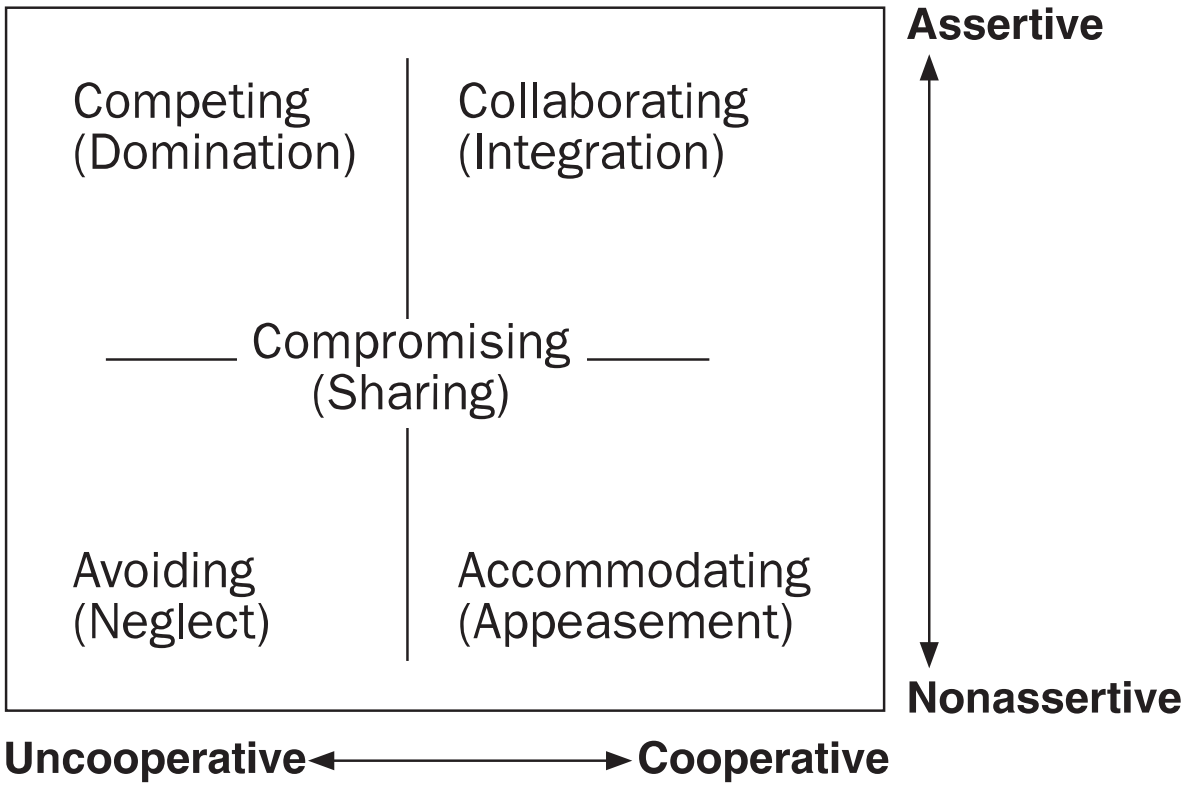
[1] The *Thomas-Kilmann Conflict Mode Instrument* is available from Xicom, Inc., Sterling Forest, Tuxedo, New York 10987.

Mode	User Characteristics	Appropriate When
Competing	Takes firm stands Can be intimidating to subordinates, who are likely to fear dissent	There is an emergency or crisis A decision is unpopular One is certain that he or she is correct about a crucial matter One is defending against opportunists who might exploit a less combative style
Collaborating	Views disagreement as opportunities to make things better Sometimes tries inappropriately hard to reach consensus on unimportant problems	The desires of both sides are too important for a simple trade-off Attempting to gain insight into somebody else's ideas or opinions Bringing a variety of views to bear on an issue Seeking consensus to obtain joint ownership of the action Overcoming previous hostilities in a relationship
Compromising	Perhaps cynically views the mechanics of compromise as more important than the substantive concerns about the controversy Able to give and take Not timid about the stressful environment of a bargaining situation	The objectives are not inconsequential but conflict would be prohibitively costly Opponents of equal strength are locked in zero-sum bargaining Seeking a quick, temporary fix of a complicated issue Under the pressure of a deadline Collaboration or competition already has failed

Modes of Response to Conflict As Demonstrated Through Characteristics and Examples

Mode	User Characteristics	Appropriate When
Avoiding	Accepts default decisions Withholds contributions to decision making Cautiously evades confict Does not want to hurt others' feelings Delegates or passes controversies on to others	The controversy is trivial Victory is impossible The payoff for solving the problem is lower than the potential damage of the controversy It is advantageous to let anger and passion recede before tackling the issue Further research is more useful than a quick resolution Someone else can solve the problem better The concern is far from the central issue(s)
Accommodating	Gives in to others when warranted or perhaps when not Reasonable Willing to admit errors Wise enough to surrender when appropriate Knows the correct exceptions to policies	You are aware that the other side's position has more merit or justice than your own You wish to make amends or reparations The controversy matters more to the other party than to you You want to build up a "debt" to collect later The other side holds all the winning cards You value peace more than the potential gains in the controversy

Modes of Response to Conflict As Demonstrated Through Characteristics and Examples (continued)



Modes of Handling Conflict

This two dimensional model of conflict-handling behavior is adapted from "Conflict and Conflict Management" by Kenneth Thomas in *The Handbook of Industrial and Organizational Psychology*, edited Marvin D. Dunnette. New York: John Wiley & Sons, 1983. Adapted and used with permission of Marvin D. Dunnette.

THE ACHIEVE MODEL

The ACHIEVE model[2] originally was presented by Paul Hersey and Marshall Goldsmith in "A Situational Approach to Performance Planning," *Training and Development Journal*, November, 1980.

The model identifies the seven key factors that influence performance management. It is designed to help managers to determine possible causes of performance problems and to develop solutions. In using the model, a manager evaluates how each factor affects or will affect the performance of an employee on a given task and then selects the solution that fits the causes.

Performance management, in terms of this model, includes three major functions:

- Performance planning: setting objectives and directions for employees at the beginning of a planning period and developing plans for achieving these objectives.
- Coaching: day-to-day feedback and development activities aimed at enhancing performance.
- Performance review: overall evaluation of performance for the specific planning period.

The ACHIEVE model can be used in all these functions, as a check list for diagnosing performance problems and identifying possible solutions.

SOURCE

Hersey, P., & Goldsmith, M. (1980, November). A situational approach to performance planning. *Training and Development Journal.*

[2] Extracted from Paul Hersey and Marshall Goldsmith, "A Situational Approach to Performance Planning," *Training and Development Journal*, November, 1980. Used with permission of the authors. Not to be duplicated without permission of Leadership Studies, Inc., 230 West Third Avenue, Escondido, California 92025.

Possible Causes	Possible Solutions
A: Ability Knowledge and transferable skills to complete the task successfully; experience; aptitudes.	Education and training courses; coaching; doubling up; reassignment of duties; practice.
C: Clarity and Confidence Understanding; knowledge of what, when, how; role clarity (job description). Goals or objectives. Standards. Priorities. Self-assuredness.	Performance-planning discussions and written agreements; revised job description. Review goals and objectives. Review standards. Discussions; policy manuals; internal or external experts. Coaching; positive reinforcement.
H: Help, Support To get the job done (too little or too much). From: organization manager (boss), peers, other departments, subordinates.	More time, adequate budget, equipment, facilities, human resources, information, management training, coaching, supervision (less or more), focused meetings, cooperation, support, revised objectives.
I: Incentive, Motivation Rewards ("What is in it for the employee?"); willingness to complete specific tasks successfully. Positive reinforcement; commitment.	Understand what motivates employees; how or do rewards relate to consequences? Feedback on performance; positive reinforcement; appreciation; better use of rewards; eliminate undesirable consequences of good work.

The ACHIEVE Model

Possible Causes	Possible Solutions
E. Evaluation	
Performance feedback and coaching (none, negative, rare).	Plan regular feedback, informal as well as formal; coaching; reinforce positive behavior.
Clear performance criteria and methods of measurement.	Establish criteria for success and methods to measure.
V. Validity	
Legal personnel practices. Perceived fairness; established criteria. Task legitimacy. Results orientation; job description.	Company policy regarding selection, training, evaluation, and promotion to adhere to legal guidelines (laws and court decisions). Establish performance-oriented criteria; written support for evaluation; review standards or results to be achieved; explanations and discussions.
Appropriate and consistent management behavior.	Management decisions checked against legal guidelines and company policy.
E: Environment	
(Internal): appropriate job design; reward system; management style; organizational stability.	Typically beyond control of employee and sometimes manager; can discuss implications.
(External): Market conditions, competition, supplier reliability, professional norms, predictable government interventions.	Can make representations to indicate negative consequences; take into consideration when planning; reassess standards and performance objectives.

The ACHIEVE Model (continued)

ANALYZING PERFORMANCE PROBLEMS

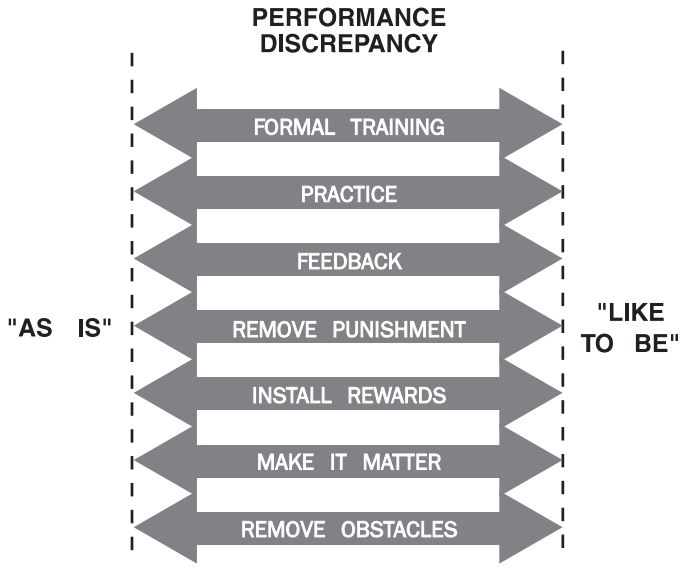
Mager and Pipe (1984) observe that organizations tend to blame too many of their problems on their training programs. If employees fail to complete some necessary paperwork, it is easy to conclude that the workers need to be trained to fill out the forms. In fact, the employees may know perfectly well *how* to do the paperwork but are failing to do so for other reasons. Managers must remember that training is a possible *solution,* not a problem; and that training is not always the ideal solution for every problem.

A PROCESS FOR DEALING WITH PERFORMANCE DISCREPANCIES

This is not to say that performance problems cannot exist. However, problems often are hastily or incorrectly analyzed. Mager and Pipe (1984) suggest a process for dealing with performance problems that initially have been related to training. This process involves eight steps:

1. Describe the delinquent performance.
2. Determine whether the delinquent performance is important or whether it safely may be ignored.
3. Determine whether the performance problem is caused by a skill deficiency.
4. If the performance problem is caused by a skill deficiency, decide on a solution. (Training is only one possible solution to a skill deficiency.)
5. Determine whether the simplest, most direct solution has been chosen to remedy the skill deficiency.
6. Determine whether the performance of the employees involved in the problem will improve as a result of the implemented solution.
7. If the performance problem is not caused by a skill deficiency, identify the cause of the problem and select an appropriate solution.
8. Select and implement the best solution to the problem.

The figure that follows depicts the process of dealing with performance problems.



Performance Discrepancies: An Index of Dissatisfaction

Is There a Performance Discrepancy?

A performance problem, also known as *a performance discrepancy*, is a gap between desired performance and actual performance. A performance discrepancy is the difference between "what is" and "what should be." The performance discrepancy is an index of dissatisfaction with the work being done.

Does this Discrepancy Matter?

Not all problems are worth solving. Some solutions may be more costly than the problems they purport to solve. The decisions of which discrepancies are important and which discrepancies can be ignored are value judgments that ideally are driven by assessments of the costs and benefits of taking action.

DO SKILL DEFICIENCIES EXIST?

Many factors may contribute to a performance problem. Some factors may result from skill deficiencies; others may not. According to Mager and Pipe, training is an appropriate solution to the performance problem only if the problem is the direct result of a skill deficiency.

HOW SHOULD SKILL DEFICIENCIES BE REMEDIED?

Even if the performance discrepancy is the result of a skill deficiency, training still may not be the answer. Managers should ask themselves whether the employees *ever* knew how to do the task in question. If they did not, formal training probably is in order.

On the other hand, if the skills once were known and somehow have been lost, managers need to look for solutions other than training. Managers should consider whether the skill is practiced frequently enough for employees to retain it. If the deficient skill is practiced frequently, employee feedback might be the most appropriate remedy. It is possible that the employees originally learned the skill incorrectly.

WHAT IS THE SIMPLEST SOLUTION?

Alternatives to formal training often are simpler and less expensive. One of the simplest and most economical solutions is the written *job aid* or "cheat sheet." For example, rather than scheduling formal training sessions to teach all employees how to load the copy machine, posting a clear set of directions next to the machine may be all that is needed. Mager and Pipe conclude, "The more complex the job, or the more critical it is that it be performed correctly, the stronger the argument for introducing a performance aid rather than expecting people to be fully 'trained' " (p. 47). This is especially true with regard to tasks that rarely are performed.

Sometimes it is easier to change the job requirements than it would be to train the employees. For example, there is no point in training employees to use obsolete equipment. On-the-job training also can be an alternative to formal training. By relying on the expertise of senior employees and perhaps by implementing a buddy system, the organization may be spared the need to hire a professional trainer.

ARE THE EMPLOYEES CAPABLE OF IMPROVEMENT?

Attempts to improve a person's performance are not always successful. As the saying goes, "Never try to teach a pig to sing; it's impossible to do, and it annoys the pig." In other words, not every person has the ability to fulfill the requirements of every job. Conversely, performance deficiencies sometimes can be attributed to over-qualification—the job may be too simple, too boring, or too routine for that person.

Managers of over- or underqualified employees may have to accept the fact that transfer or termination of these employees may be their only recourse.

IF THE SKILLS ARE ADEQUATE, THEN WHAT?

Mager and Pipe suggest that managers ask their employees the following four questions if the employees' skills are determined to be adequate but if performance continues to be substandard.

1. Managers can ask whether ***performance results in punishment.*** Does filling out the necessary paperwork result in unwanted accountability for defective units? Perhaps the accountability could be made less punitive. Do fellow employees ridicule those who fill out forms? Perhaps employees who sabotage performance

should be disciplined. Are the forms long and tedious to complete? Perhaps the form can be simplified. The object in this case is to *remove the punishment.*

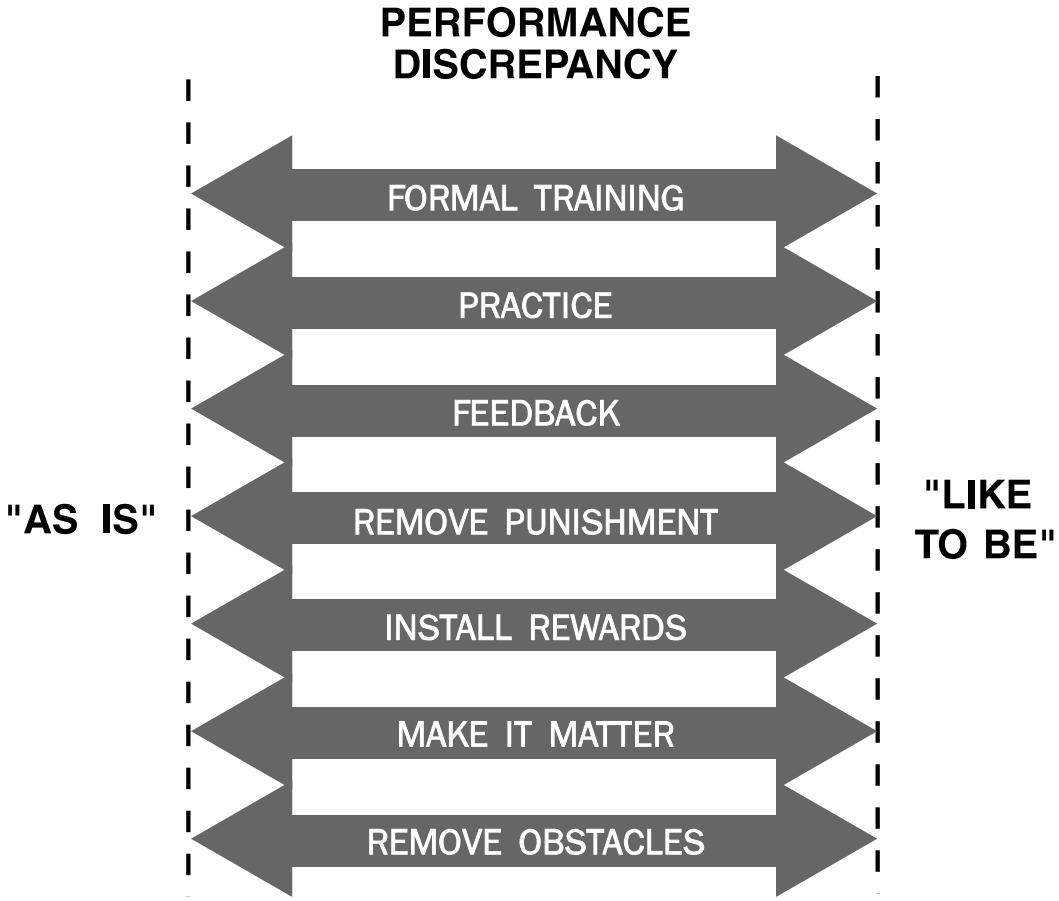
2. Managers can ask whether ***nonperformance is rewarding.*** Is productivity measured solely by the number of units produced, making it rewarding to conserve time by neglecting paperwork? Perhaps credit for completion of a unit should be granted only after paperwork is submitted. Here, the remedy is to *reward performance.*
3. Managers can ask whether ***performance matters.*** Do employees receive feedback about incomplete paperwork, or do their supervisors take up the slack? Instead of filling out the forms themselves, supervisors should return incomplete paperwork to employees for completion. The object in this case is to *provide useful and specific feedback.*
4. Managers can ask whether ***obstacles to good performance exist.*** Do employees neglect to fill out paperwork because the appropriate forms are not convenient or available? Move the forms to a better location and ensure a plentiful supply. Do the employees who neglect the paperwork know that they must complete it? It might be sufficient simply to tell them that they must complete the forms. Managers must *remove obstacles* that impede good performance.

HOW DOES ONE SELECT THE BEST SOLUTION?

Thorough problem analysis is the key to selecting the best solution. Managers should be sure to consider as many possible solutions as they can think of. Potential solutions should respond to *identified problems* such as lack of skills, a faulty reward system, or obstacles to good performance. Managers then must determine the tangible and intangible costs and benefits of each option. Of those options that have the most favorable balance of costs and benefits, determine which are the most practical and acceptable.

REFERENCE

Mager, R.F., & Pipe, P. (1984). *Analyzing performance problems: Or you really oughta wanna* (2nd ed.). Belmont, CA: Pitman Learning.



Performance Discrepancies: An Index of Dissatisfaction

AUTHENTIC MANAGEMENT

Many theories and models of management focus on *how managers should behave.* For example, theories of management based on a human-relations model typically advocate managerial practices based on openness, trust, collaboration, participation, group interest, and the like. In such models and theories, valued behavior becomes prescribed behavior. Many such models and theories assume that there is one best way to manage and that, through some prescribed process, organizations and the people within them can be made to adjust to the "best way."

FUNDAMENTALS OF AUTHENTIC MANAGEMENT

Herman and Korenich (1977) suggested that managerial effectiveness probably will decrease as managers cease to behave naturally and begin to behave as some theory or model has told them that they should. Such an emphasis neglects the most important element of managerial success: the individual competence and power of the manager. For Herman and Korenich, the most effective and satisfied managers are those who behave in a *genuine and authentic manner.*

Authentic management is an approach to working with people and organizational systems that minimizes the "shoulds" of managerial behavior and instead advocates an emphasis on the self and on the relationship between the self and the present situation. To behave authentically, managers first must become aware of what they want—both materially and emotionally—from others in various situations. Second, they must develop their own personal competence and power, rather than relying on the competence and power that sanctioned managerial behavior bestows on them. Hence, authentic management does not dictate a best way to be or a best way to manage; it simply asks managers to be themselves. However, authentic management requires high levels of personal awareness and contact with:

- What is desired from oneself and from others—materially, emotionally, and behaviorally—in a situation;
- What is presently happening emotionally and behaviorally in that situation;
- What needs to be done in order to get one's needs met; and
- How to accomplish the above in order to meet one's needs.

Managing authentically requires an awareness of one's wants, needs, and desires in order to act naturally and in accordance with one's values. Contrary to what might be expected, the "selfish" orientation of authentic management does not produce "dysfunctional competition." It does, however, enhance a person's ability to make

choices and provides an unfiltered and genuine foundation for effective cooperation. According to Herman and Korenich, the more that managers are "in touch" with what they want and how to get it, the more effectively they will manage and the more stimulation and satisfaction their jobs will bring them.

THE THEORETICAL FOUNDATIONS OF AUTHENTIC-MANAGEMENT THEORY

The principles of authentic management are grounded in Fritz Perls' (Perls, Hefferline, & Goodman, 1951) Gestalt therapy. As a therapeutic system, Gestalt psychology seeks to understand behavior and emotions in terms of the "here and now." According to Gestalt theory, the past is relatively unimportant; current events are emphasized.

Gestalt is a German word that means "a unified or comprehensive whole." In Gestalt, parts are not perceived as such; rather, they are perceived and experienced as meaningful and comprehensive wholes. Most importantly, a clear Gestalt requires the distinction between *figure* and *ground.*

- *Figure* is any point or object that is the center or focus of attention.
- *Ground* is analogous to background or the environment and includes all that is within the field of perception but is not the focus of attention.

The figure at the end of this article illustrates a typical office setting. In most offices, one enters the office, faces the person who is seated at the desk, and speaks. The attention of the speaker is focused on the person sitting at the desk. Accordingly, the person at the desk is *figure* and everything else in the environment is *ground.* However, if the speaker should divert his or her attention to the clock on the wall, the person at the desk then fades into the background (becoming ground) and the clock becomes figure.

INTERFERENCE

When figure is clear and well differentiated, the perceiver can respond genuinely and in accordance with what is wanted. A lack of distinction between figure and ground is said to be caused by *interference.* Interference can result from the following:

1. ***Poor sensory contact with the self and with the environment.*** Herman and Korenich describe this condition as a lack of clarity in seeing, hearing, or feeling. Poor sensory contact results from an inability or unwillingness to see other points of view; an inability or unwillingness to listen to others; or a lack of awareness of one's feelings and emotions.
2. ***Suppressing and blocking of self-expression*** can result from a conscious decision to withhold or to conceal certain emotions and feelings because of some expected negative reaction from others. In an organizational setting, managers' unwillingness to admit that a particular problem exists or to complain about lack

of support from others are examples of the suppression and blocking of self-expression.

3. ***Repression and blocking of self-expression*** can result from the denial of feelings and emotions to the point at which they are pushed into the unconscious. These feelings and emotions still exist, but remain outside the scope of awareness. Repressed and blocked people often deny experiencing feelings such as fear or anger, even though physical indicators such as a loud voice or shaking may be present.
4. ***Thinking about, theorizing about, and anticipating others' thoughts*** can stem from preconceived beliefs about others' wants, needs, and feelings. Herman and Korenich believe that it is extremely difficult to be aware of oneself and one's environment when one focuses on visualizations and predictions about others.

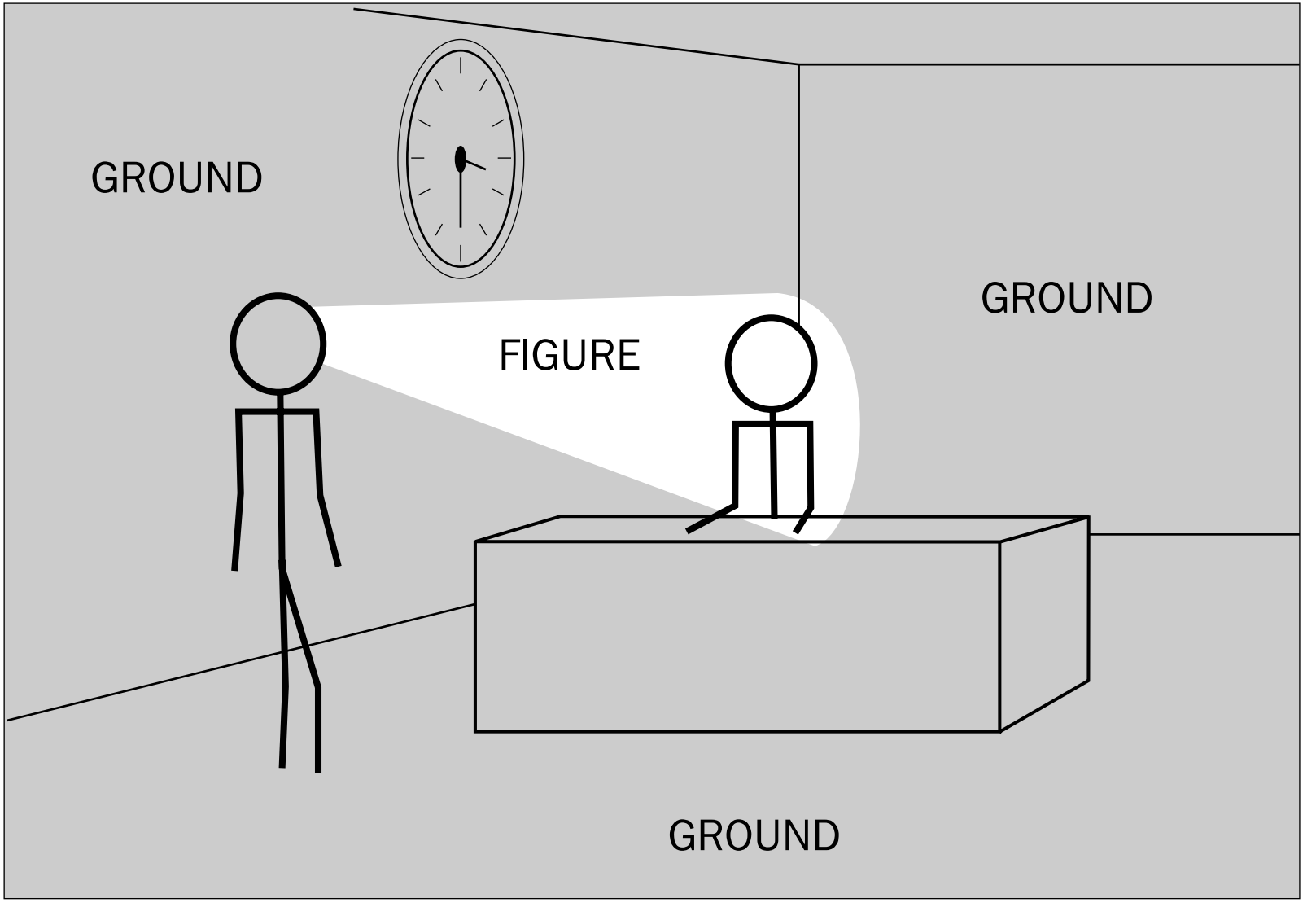
In authentic management, the total Gestalt (situation) presents a picture in which current situations or problems (figure) are clearly differentiated and unobstructed by background (ground) noise and interference. An authentic manager is able to move through his or her Gestalt in direct, appropriate, and satisfying ways.

The authentic-management approach does not prescribe a particular model of managerial behavior, nor does it advocate lengthy analyses of behavior. Rather, authentic management is concerned with an awareness of what is happening in the here and now. Herman and Korenich believe that as managers become aware of their behavioral and internal processes and free themselves from the constraints of prescribed models of behavior, they will become more effective. Ideally, positive as well as negative emotions will be recognized as genuine and beneficial.

REFERENCES

Herman, S.M., & Korenich, M. (1977). *Authentic management: A gestalt orientation to organizations and their development.* Reading, MA: Addison-Wesley.

Perls, F.S., Hefferline, R.F., & Goodman, P. (1951). *Gestalt therapy.* New York: Dell.


GROUND
GROUND
FIGURE
GROUND

CHARACTERISTICS OF SUPERIOR LEADERS AND MANAGERS

According to Dennis Kinlaw (1989), the distinction between a manager and a leader is that "manager" is an assigned organizational role, whereas "leader" is a role that can be assumed by anyone. Thus, not all managers are leaders and not all leaders are managers. In practice, people in organizations tend to identify managers as leaders more often than they do any other set of employees. Kinlaw's studies indicate that by studying superior leaders in organizations, we inevitably study managers. He does, however, report some differences between what superior *managers do* that causes them to be identified as superior and what superior *leaders do* that earns them a similar distinction.

SUPERIOR MANAGERS

There are eight sets of practices that distinguish superior managers. They are as follows:

1. ***Action Focus.*** The manager focuses on making things happen, meeting objectives, and solving problems that hinder progress.
2. ***Performance Focus.*** The manager is focused on the highest possible standards of quality and productivity.
3. ***Improvement Focus.*** The manager aims to maintain continual improvement and to ensure that there are concrete improvement goals in the group.
4. ***Contact Focus.*** A manager with this focus stays in touch with all members of the group and with the users of the group's products and services.
5. ***Relationship Focus.*** The manager develops and maintains positive work relationships within and outside the group.
6. ***Development Focus.*** The manager is focused on developing the competencies and careers of the group members.
7. ***Team Focus.*** The manager is concerned with building cooperation and commitment to common goals within the group.
8. ***Character Focus.*** This describes the manager's practice of displaying at all times the highest personal ethics and work standards.

One also can identify examples of specific managerial practices included in some of these sets. For example, under the set "relationship focus," we find these specific practices:

- Typically confronts problems in work relationships in a positive and timely way;
- Encourages others to be frank and open in their opinions;

- Typically treats the opinions of others with respect;
- Usually is honest with others about his or her own ideas and opinions; and
- Typically maintains easy and informal relationships with subordinates.

The practices included under the developmental focus are:

- Regularly coaches subordinates to develop present and future competencies;
- Always helps subordinates to cope positively with disappointment;
- Usually delegates extensively and avoids micro-management;
- Regularly educates subordinates about senior management's values and ways of doing business; and
- Ensures that all members of the work group are regularly involved in training activities to enhance their present and future performance.

SUPERIOR LEADERS

Superior leaders share six sets of common practices. These are:

1. ***Establishing a Vision.*** Superior leaders create expectations for significant and lasting achievement. They give meaning to work by associating even menial tasks with valued goals.
2. ***Stimulating People To Gain New Competencies.*** Superior leaders stimulate people to stretch their minds and their wills. They freely share their own expertise and keep people in touch with new resources.
3. ***Helping People To Overcome Obstacles.*** Superior leaders help others to overcome obstacles. They help others to find the courage and strength to persevere in the face of even the greatest difficulties.
4. ***Helping People To Overcome Failure.*** Superior leaders help people to cope with failure and disappointment. They are quick to offer new opportunities to people who have failed.
5. ***Leading by Example.*** Superior leaders are models of integrity and hard work. They set the highest expectations for themselves and others.
6. ***Including Others in Their Successes.*** Superior leaders are quick to share the limelight with others. People associated with superior leaders feel as successful as the leaders.

For each of the above sets, we also can identify specific behavioral practices. For example, the leadership practices included under "establishing a vision" are as follows:

- Generally succeeds in helping people to believe in the lasting importance of their work;
- Regularly helps others to accept new challenges;

- Generally helps to keep others from feeling bogged down in unrewarding tasks;
- Consistently encourages people to work toward challenging goals; and
- Typically inspires others to make personal sacrifices in order to get the job done.

The practices included under "stimulating people to gain new competencies" are:

- Often encourages others to try creative ideas;
- Often suggests to others new ways to approach problems;
- Regularly puts others in touch with sources of new information and ideas;
- Freely shares his or her own expertise with others; and
- Often leads others to develop new insights.

The set of behaviors under "helping people to overcome obstacles" includes:

- Typically challenges others not to quit—no matter what the obstacles;
- Often helps others to find new resources of personal strength;
- Often helps others to find creative ways around obstacles;
- Typically gives special support to others when they face difficult obstacles in their jobs; and
- Regularly calls attention to the strengths of others.

These consistent behaviors of superior managers and leaders correlate in many ways with Kinlaw's (1989) coaching behaviors and with characteristics of effective leaders identified by other researchers (e.g., Bennis & Nanus, 1985; Kouzes & Posner, 1987.)

REFERENCES

Bennis, W., & Nanus, B. (1985). *Leaders: The strategies for taking charge.* New York: Harper & Row.

Kouzes, J.M., & Posner, B.Z. (1987). *The leadership challenge.* San Francisco: Jossey-Bass.

SOURCE

Kinlaw, D.C. (1989). *Coaching for commitment: Managerial strategies for obtaining superior performance.* San Diego, CA: University Associates.

1. Action Focus
2. Performance Focus
3. Improvement Focus
4. Contact Focus
5. Relationship Focus
6. Development Focus
7. Team Focus
8. Character Focus

Characteristics of Superior Managers

1. Establishing a Vision
2. Stimulating People To Gain New Competencies
3. Helping People To Overcome Obstacles
4. Helping People To Overcome Failure
5. Leading by Example
6. Including Others in Their Successes

Characteristics of Superior Leaders

THE COACHING PROCESS

Kinlaw (1989) argues that the key to superior performance is *commitment.* Commitment is an engagement or involvement in the work at hand characterized by a single-minded desire and motivation to overcome all obstacles in order to get the job done. In this sense, commitment implies a willingness to make personal sacrifices and to remain focused on accomplishing goals. Kinlaw believes that coaching is the key to building and sustaining complete employee commitment.

In organizations, managers are responsible for subordinates' performances. Managers depend on others to do their jobs, directly through others' ability to perform and indirectly through others' willingness and commitment to high-level performance. Managers are beginning to learn that tight controls and structures do not inspire the kind of results that make organizations effective and competitive. Tight controls and structures may enforce satisfactory performance but do not lead to the superior performances of committed employees. Superior performances come from committed employees who *want to do the job.* Therefore, managers should work to create commitment and focus among employees. Kinlaw believes that coaching has become so much a part of managerial functioning that managers no longer have the option of whether or not to coach. Although not all managers are coaches, Kinlaw believes that all *superior* managers are coaches; and superior managers achieve sustained, high levels of performance by coaching employees in particular ways.

COACHING FUNCTIONS

The coaching process can be broken down into four types of manager-subordinate conversations. Each conversation emphasizes a different function necessary for the development of employee commitment. The four functions are:

- ***Counseling;***
- ***Mentoring;***
- ***Tutoring;*** and
- ***Confronting or Challenging.***

Counseling conversations produce:

- Accurate descriptions of problems and their causes;
- Release of strong feelings;
- Changes in points of view;

- Commitment to self-sufficiency; and
- Personal insight about one's feelings and behavior.

Mentoring conversations strive to produce:

- Development of political savvy;
- Sensitivity to the organization's culture;
- Increased proactivity in managing one's career;
- Commitment to organizational goals and values; and
- Sensitivity to senior managers' likes and dislikes.

Tutoring conversations strive to produce:

- Increased technical competence;
- Increased technical understanding;
- Movement to expert status;
- Increased pace of learning; and
- Commitment to continued learning.

Confronting or Challenging conversations strive to produce:

- Clarification of performance expectations;
- Identification of performance deficiencies;
- Acceptance of more difficult tasks;
- Strategies to improve performance; and
- Commitment to continued improvement.

EFFECTIVE COACHING

All coaching functions are one-on-one conversations between managers and subordinates that emphasize performance-related issues. Yet not all coaching is effective. Kinlaw suggests that effective coaching results in the building and maintenance of positive work relationships; is problem focused and communicates respect; is an identifiable process that requires the use of distinctive communication skills; and results in positive changes in performance or a renewed commitment to self-sufficiency, organizational goals and values, continued learning, and sustained high performance.

COACHING PROCESSES

Kinlaw observes that most managers are likely to emphasize results and to be relatively unconcerned about the process by which results are achieved. However, true coaching conversations follow identifiable processes, have specific purposes, and incorporate specialized communication skills. Mutually satisfactory outcomes depend on both the employee's willingness to cooperate and the manager's ability to create an environment in which the employee will be more likely to cooperate.

All coaching processes take place with one of two goals in mind: to *solve problems* or to *improve performance.*

1. ***Problem-solving*** processes are *counseling, mentoring,* and *tutoring* interactions. Problem-solving processes begin when either the employee or the manager perceive an employee's need. Such processes can be initiated either by the employee or by the manager.
2. ***Performance-improvement*** processes are *confronting or challenging* interactions. They take place in order to alter employee behavior—to correct a performance deficiency or to present a new task or challenge. Confronting or challenging processes always are initiated by the manager.

Problem-Solving Processes

Problem-solving processes comprise three stages: *involving, developing,* and *resolving.* The figure on the next page depicts the three problem-solving processes.

Involving

During the *involving* stage, the manager should clarify the purpose of the meeting, outline important ground rules, involve the employee in relaxed interaction, and develop high levels of trust and comfort. Managers who are effective problem solvers have highly developed interpersonal communication skills that allow them to focus on employee concerns, to clarify important points, to probe for additional information in a nonthreatening manner, to acknowledge the employees' value, and to demonstrate high levels of respect. Coaching requires mutual interaction. Managers must involve their employees in a process in which the employees believe that they will be influential. Natural power imbalances between managers and employees, failure of managers to communicate respect, and employee intimidation can impede the development of mutual respect. Employees who sense that respect is not mutual may be uncooperative and will tend to focus their energy elsewhere.

Developing

The goals of the *developing* stage vary with the emphasis of the coaching function. If *counseling* is the emphasis, the goal will be to define the problem and to gain insight into the problem. If the purpose is *mentoring,* the goal will be the employee's insight

about the corporate culture, company politics, and so on. If *tutoring* is the purpose, the goal will be to have the employee learn from instruction.

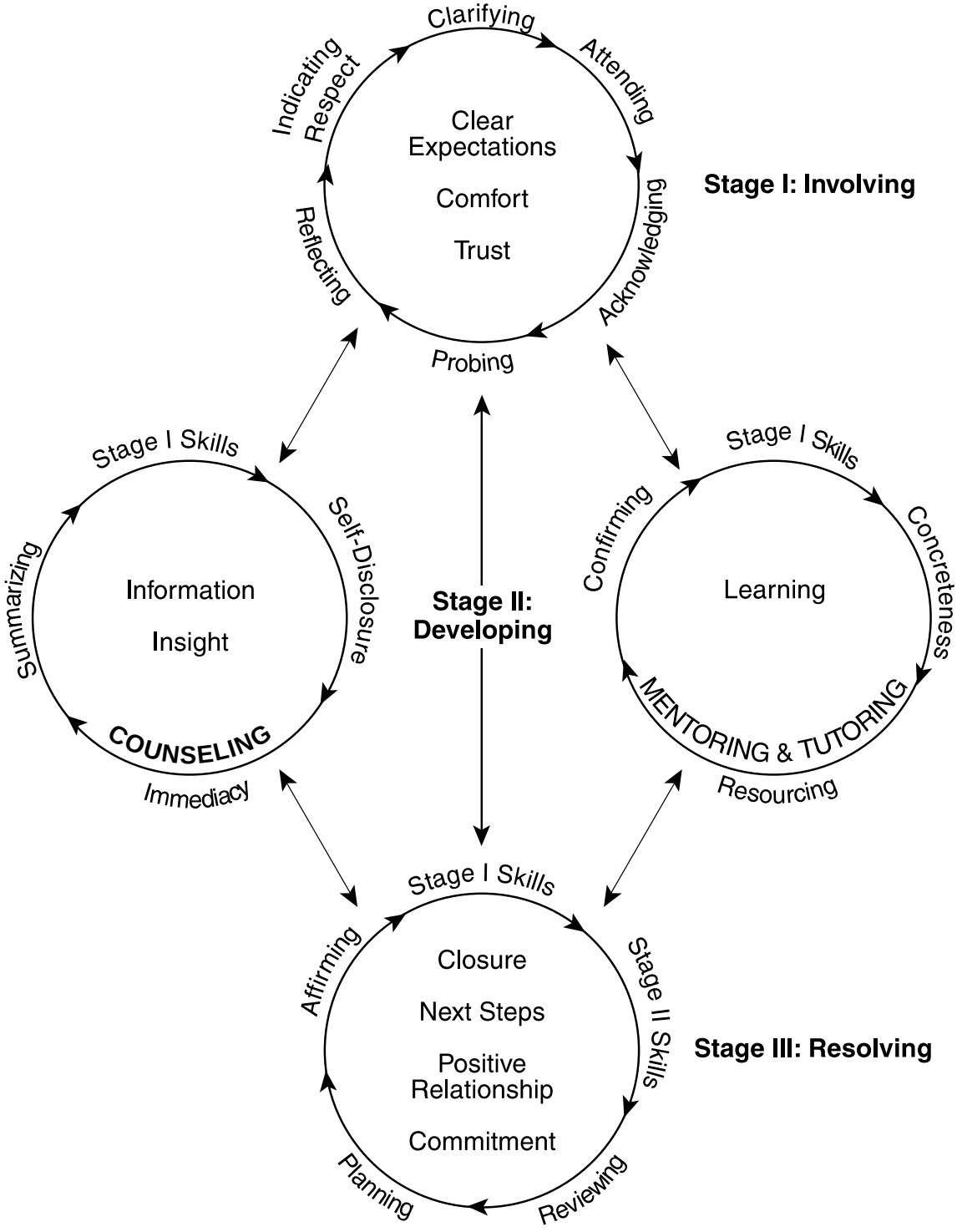
1. ***Counseling.*** The counseling process requires the use of three skills: *self-disclosure, immediacy,* and *summarization.* Appropriate *self-disclosure* by the manager helps employees to identify with him or her. *Immediacy* deals with responding to "real-time" conditions. It is the skill of focusing coaching conversations on the here and now and of including any comment that draws immediate attention to anything blocking the progress of the coaching session. By *summarizing* periodically what has been said, the conversation will progress with mutual understanding.
2. ***Mentoring and Tutoring.*** These processes encourage learning. *Concreteness, resourcing,* and *confirming* are helpful for steering mentoring and tutoring conversations toward positive outcomes. The manager must define the desired knowledge and behavior in a *concrete* manner. The coaching process assumes that managers' knowledge and experience are valuable *resources.* Kinlaw cautions, however, that managerial resources should not be used to inhibit creativity or to encourage dependency. Managers do not have a sixth sense about whether their messages have been received and understood; they must *confirm* this by asking employees to restate what has been said or to demonstrate the desired skill.

Resolving

The goals of the *resolving* stage are to *strengthen employee commitment* to higher levels of performance; to *maintain positive work relationships;* to attain *closure;* and to plan the *next steps.* Closure is the process of completing the coaching conversation; it should fortify the employee's sense of achievement. Planning the next steps can take numerous forms, depending on the coaching function. In counseling, the employee and the manager will identify strategies for resolving the identified problem. In mentoring, the next step may be for the employee to experiment with the new information and to schedule a follow-up session with the manager. In the case of tutoring, the next step may be for the employee to apply the learnings and to plan additional learning projects.

Kinlaw identifies three skills that are particularly important for achieving closure and for planning the next steps: *reviewing, planning,* and *affirming.* Reviewing builds a sense of completeness and closure that also influences employee commitment. In the planning stage, the manager and the employee think of ways to resolve the identified problems, to test the employee's understanding of what was learned, and to apply the new learnings. Good planning can be simple or complex and is characterized by:

- Full employee involvement;
- Concrete action steps; and
- Specific methods of measuring progress.



Coaching Process 1: Solving Problems

The *process* of coaching, not the *content,* stimulates the commitment necessary for employees to attain higher levels of performance and positive working relationships. To be competent coaches, managers must be able to implement the complete process from beginning to end.

Performance-Improvement Processes

The process of *performance improvement* utilizes the coaching functions of *confronting* and *challenging.* Managers use confrontation to correct performance problems and to develop employees' commitment to continued improvement. Confronting does *not* imply criticism. Criticism places blame and emphasizes people instead of problems. Confrontation focuses on problems instead of people, change instead of blame, and emphasizes the relationship. The purpose of confrontation is to avoid the negative effects associated with ignoring or avoiding problems, unclear performance expectations, and little or nonexistent feedback. Challenging is used when an employee is being asked to take on additional responsibility or a new task or role (e.g., to transfer to a lead position).

The two coaching processes of problem solving and performance improvement share three interdependent stages. In both cases, stage two utilizes largely the same skills. However, the two processes differ in one important way. Either the employee or the manager can initiate a problem-solving coaching conversation; but only managers initiate performance-improvement coaching sessions because they perceive some need for change. Therefore, the performance-improvement process has the potential to generate employee resistance. The major challenge in performance-improvement coaching is the transfer of problem ownership from the manager to the employee.

Performance-improvement coaching comprises three stages: *presenting or confronting, using reactions to gather information,* and *resolving.* The figure on the next page depicts the three stages of the performance-improvement process.

Presenting

During the *presenting* stage, the manager makes an initial statement of the performance problem and states his or her expectations for improvement. The goals during this stage are limiting resistance and negative emotions, establishing the boundaries of the performance problem, and focusing on change. The manager should be specific, problem focused rather than personal, and future oriented. Kinlaw's rule of thumb is that if a manager cannot describe exactly what he or she wants from an employee, there is no point in confronting the employee.

Using Reactions To Gather Information

This is perhaps the most difficult coaching stage and requires more discipline than any other element of coaching. When employees are presented with performance problems, they often respond by rationalizing their performance; by making excuses; by denying

the existence of the problem; by taking the offensive; or by becoming passive. Ineffective managers may focus solely on these reactions, thereby aggravating the problem rather than resolving it. The manager must attempt to defuse resistance, to gather information, and to reach agreement with the employee on the problem and its cause(s). Managers must realize that with each confrontation comes the possibility of change, and that initial resistance to change is natural. By encouraging employees to explore their opinions, feelings, reasons, and excuses, managers can help employees to convert negative feelings into constructive behavior.

Managers must be able to drop their agendas, to gather information, and to confirm during the confronting stage. It is difficult to mentally set aside one's own agenda and to focus solely on another person's reactions. One must be able to attend fully to the other person and to use the person's reactions as the temporary agenda of the conversation.

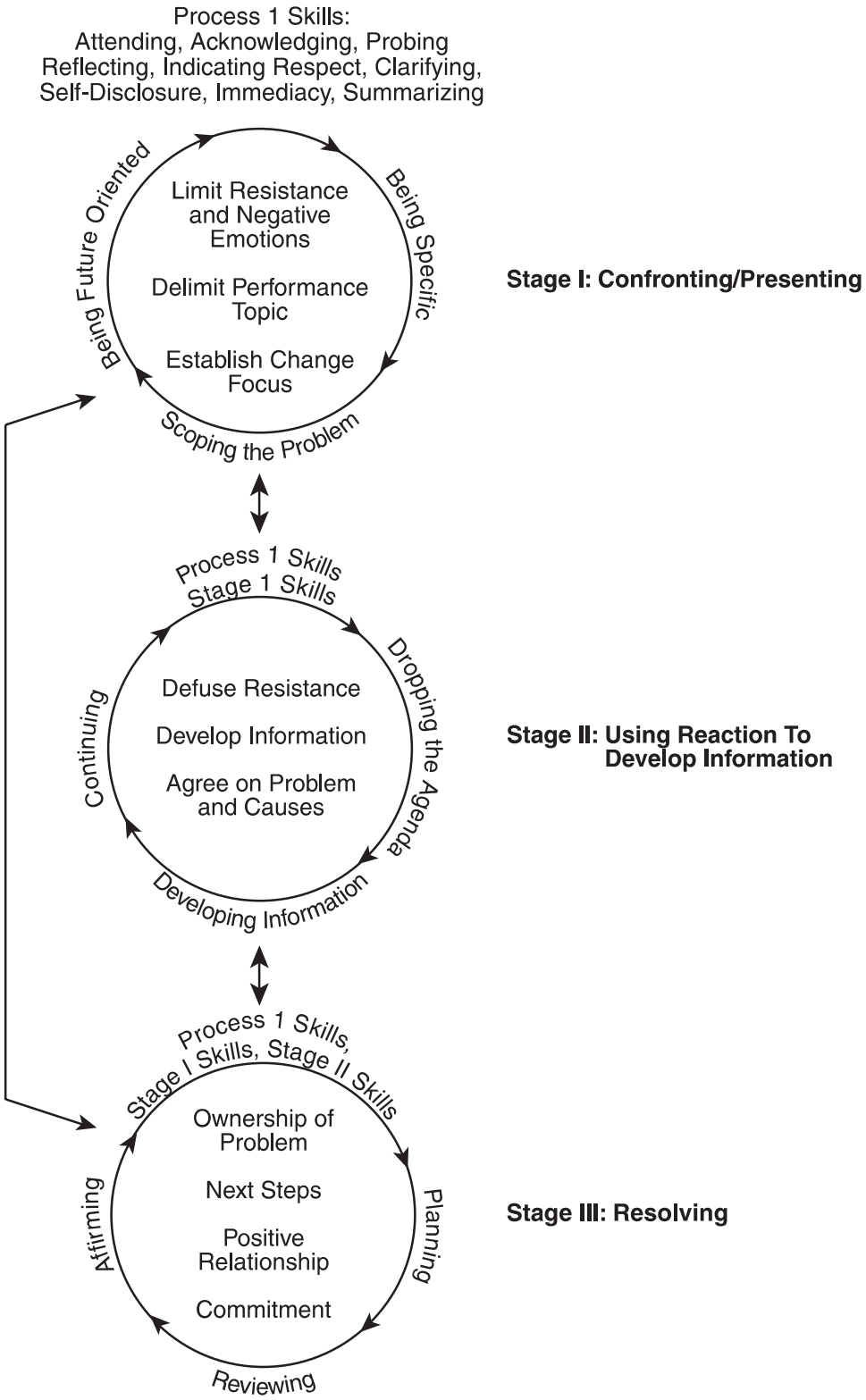
Resolving

The final stage in the performance-improvement process is *resolving.* During the resolving stage, the manager seeks to strengthen the employee's commitment to achieve higher levels of performance while maintaining positive work relationships. The manager must focus on *the employee's ownership of the problem, next steps, positive relationships,* and *commitment.* "Ownership" is a term for a person's willingness to accept responsibility for a thought or a problem. The employee and the manager should identify strategies for improving the employee's performance and agree on a method of informing the manager of progress. Positive relationships and commitment are built, maintained, and strengthened when managers practice successful coaching, communicate respect, and focus on the mutual resolution of the problem.

Kinlaw thinks of the coaching process as the conversations that managers have with employees in order to counsel, to mentor, to tutor, and to confront. In addition, Kinlaw believes that coaching connotes a managerial style that recognizes managers' limits of control, advocates extensive personal contact between managers and employees, and promotes employees' professional growth and development.

SOURCE

Kinlaw, D.C. (1989). *Coaching for commitment: Managerial strategies for obtaining superior performance.* San Diego, CA: University Associates.



Coaching Process 2: Improving Performance

EXPECTATIONS OF LEADERS: THE PYGMALION EFFECT

For decades, management theorists have been trying to determine how some leaders are able to produce higher levels of performance among their followers. Some of their learnings are pertinent to both managers and other leaders.

Writing in the *Harvard Business Review* in 1969, J. Sterling Livingston, a professor of business administration at Harvard and president of the Sterling Institute, discussed the Pygmalion effect in management. He asserted that leaders who have *confidence* in their ability to develop and stimulate followers to high levels of performance will *expect much* of those followers and will treat them in a manner that displays confidence that their expectations will be met. On the other hand, managers who have doubts about their ability to stimulate employees will *expect less* of their employees and will treat them in a manner that reveals this lack of confidence.

Bennis and Nanus (1985) stress that self-esteem is a crucial factor in the follower's ability to be successful. The development of individual potential is derived from the freeing power of self-esteem. If one regards oneself more highly, one expects more of oneself. This "results in more aggressive goals, greater expectations and hence more impressive achievements."

Most researchers now agree that successful leaders have certain characteristics in common. Although they may identify these characteristics by different terms, in general, they include:

1. A belief in their ability to develop the potential of their followers, to provide the appropriate amounts of direction and support that the followers need in order to be successful.
2. An ability to establish and communicate goals that are challenging, realistic, and attainable. Goals that are neither too easy nor too difficult are optimally motivating.
3. Positive assumptions about the potential of others—an ability to see them as winners. Such leaders are not discouraged by current appearances.
4. A commitment to excellence and a genuine, intense enthusiasm for what they do. Positive involvement, commitment, and intensity are contagious.
5. A focus on the human aspects of the task in addition to a focus on procedures, conceptual frameworks, and technology. The human aspect is the one that leads to improvement.

Leaders who expect their followers to succeed exert positive influences and obtain extraordinary short-term and long-term results. In addition, their followers feel competent, confident, and enthusiastic. They face their subsequent tasks with the expectation of success.

REFERENCES

Bennis, W., & Nanus, B. (1985). *Leaders: The strategies for taking charge.* New York: Harper & Row.

Livingston, J.S. (1969, July-August). Pygmalion in management. *Harvard Business Review,* pp. 81-89.

THE FOUR-FACTOR THEORY: HOW LEADERS INFLUENCE FOLLOWERS

Our expectations of others influence how we treat them, and how we treat them has an impact on the results we obtain. In an attempt to explain how leader behavior influences follower behavior, Robert Rosenthal and Lenore Jacobson (1968) studied leaders who had high and low expectations of their followers. They isolated four factors or areas in which positive influence from a leader produces positive results from the follower.

1. ***Climate.*** When leaders are interacting with followers for whom they have high expectations, they use both verbal and nonverbal behaviors to establish a climate that is warm, supportive, friendly, and accepting. For example, they typically use a pleasant tone of voice, frequent eye contact, smiles, and approving head nods.
2. ***Feedback.*** Leaders stimulate high performance by providing feedback that is frequent, specific, and focuses on what the follower is doing right. Specific feedback that is intended to help direct a follower toward greater task proficiency helps that follower to become more competent, successful, and self-confident.
3. ***Input.*** When they have high expectations of their followers, leaders provide resources of all types: time, written materials, people, coaching, training and development opportunities, and supplies. These help to enhance the skills of the followers and/or enable them to accomplish their tasks effectively. These followers often are given projects that are more interesting, challenging, and visible within the organization.
4. ***Output.*** Leaders who exert positive influence encourage followers to "try it, test it, get on with it"—to employ innovative, creative approaches. They also support less-than-superior results while the followers are experimenting. They offer more assistance and help to solve problems. In making decisions with the followers, they encourage collaboration and opposing points of view.

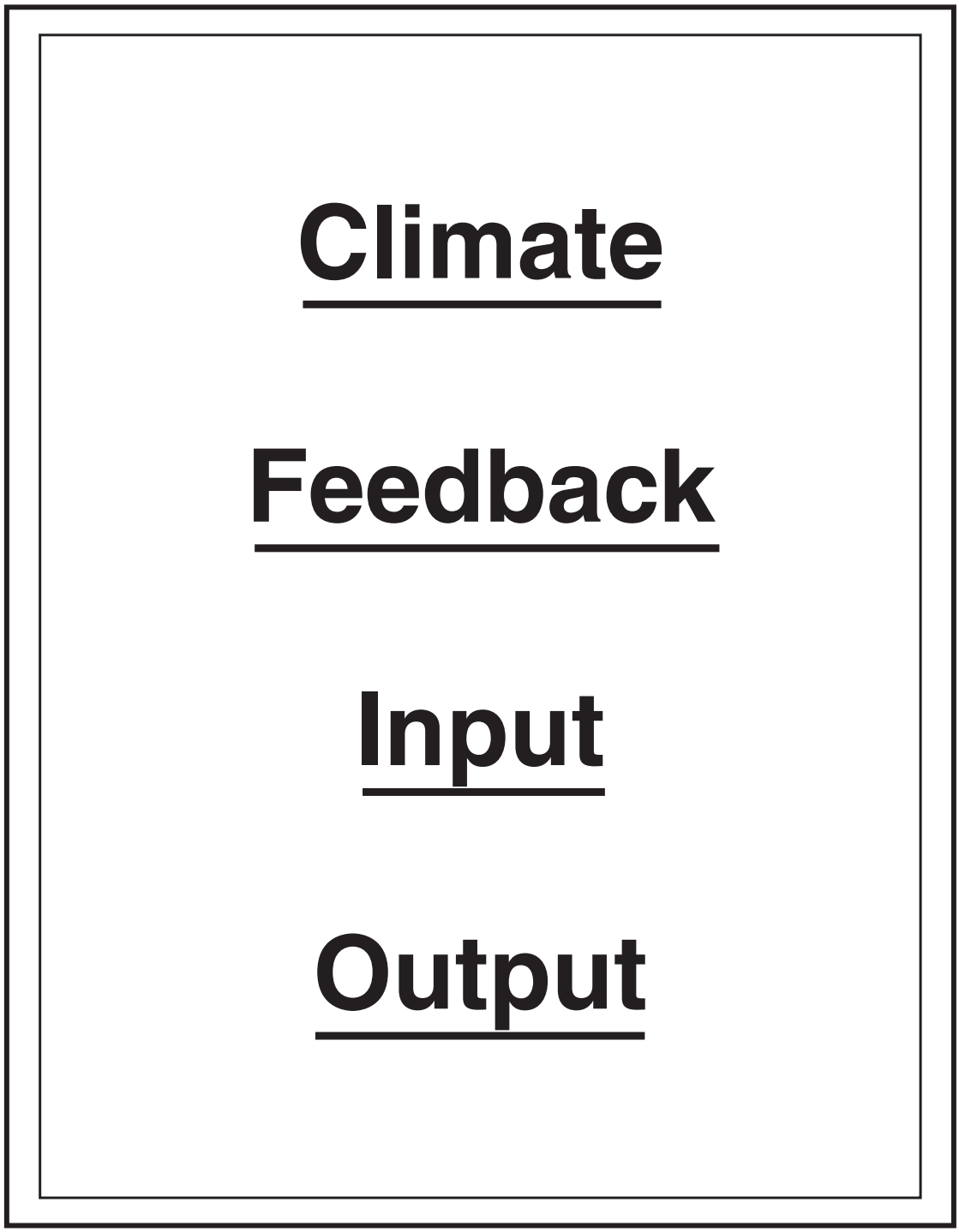
The four-factor theory asserts that leaders who behave in these ways tend to have followers whose performance, self-confidence, and enthusiasm for the task exceed minimum performance standards on current and future assignments. Leaders who do *not* exhibit encouraging, supportive behaviors are likely to find their followers to be apathetic, marginal producers.

REFERENCE

Rosenthal, R., & Jacobson, L. (1968). *Pygmalion in the classroom.* New York: Holt, Rinehart and Winston.

SOURCE

Parker, W.N. (1989). Four factors: The influence of leader behavior. In J.W. Pfeiffer (Ed.), *The 1989 annual: Developing human resources.* San Diego, CA: University Associates.



The Four Factors of Positive Influence

GENDER-RELATED POLITICS AND ORGANIZATIONAL POWER

Research by Gilligan (1982) has documented notable differences in the ways that women and men are socialized. Women generally are socialized as caretakers and nurturers, while men generally are socialized as warriors and protectors. When these roles are transferred to organizational systems, men typically are the holders of power, and women typically are perceived as ineffectual in their use of power. *Power* refers to the capacity to influence others and to make others accept one's ideas (Greiner & Schein, 1988). Because we believe that power—especially organizational power—is controlled by men, Melia and Lyttle (1986) define power as a *male-dominant system.* For Melia and Lyttle, male-controlled systems have evolved from specific gender-related differences that are metaphorically traceable to primitive cave dwellers in prehistoric times.

ORIGINS OF GENDER-RELATED POLITICS

Primitive societies existed in conditions that were much more demanding than the ones we face today. Both men and women battled for survival and developed strategies for coping with demanding conditions and hostile animals. It was from these harsh conditions that the beginnings of what Melia and Lyttle call *gender politics* emerged.

Female Roles

In primitive societies, women's ability to survive was limited significantly by their smaller physical size, relative physical weakness, and certain physical limitations—notably, pregnancy. Women sought shelter in caves in which they could raise their families and *control their environments.* Caves protected women from the weather and concealed them from wild creatures. Still, caves were not impenetrable; to increase their likelihood of survival and of their children's survival, women encouraged men to live with them. Women provided a warm place to live, cooked meals, clothing, sex, children, and so on, in return for raw food and protection.

At first, other women and men were permitted to live in one couple's cave. However, problems sometimes developed. The "man of the cave" could leave with another woman, fights could develop over scarce food, and other men could enter the cave to plunder and rape. Therefore, it became necessary for women to allow into their caves only those of honorable intent. Thus, women developed a unique sociopolitical system in which external threats were removed or eliminated by means of the following:

- ***Containment and control of the environment;***
- ***Negotiated protection;***
- ***Selective association;*** and
- ***Restricted entry***.

Melia and Lyttle suggest that those early female sociopolitical systems exist even today in the forms of contemporary women's roles, marriage rituals, female nurturing, female jealousy, sexual monogamy, and one-to-one relationships.

Male Roles

As women chose the sanctuary and emotional security of life in the caves, men ventured outside to fulfill their roles as providers. Men learned that they could not control their environment alone and that they had to be flexible and able to work within environmental constraints. Men learned that teamwork produced more successful hunting and that together they could overpower almost any creature.

Male communication systems were based on trust, and men often joined in elaborate rituals to demonstrate trust and solidarity. Men learned to utilize the strengths of some to compliment the weaknesses of others, ultimately producing a stronger unit. Failure to support others in the group, fleeing in the face of danger, and lack of cooperation warranted expulsion from the group and even death. Gradually, men developed a unique sociopolitical system based on the following:

- ***Competition;***
- ***Bargaining;***
- ***Mutual support;*** and
- ***Common goals.***

Women were not excluded from the group. Women who possessed the strength or skill necessary for group participation were welcomed and accepted readily. Both women and men were required to demonstrate their abilities and their willingness to work with others. Still, most men served as providers and protectors and, as protectors, believed that they had the right to determine where and how protection would be provided. Over time, women came to expect male protection, and men came to view their protection as a sign of ownership.

ANCIENT ROLES IN MODERN TIMES

Our perceptions of women as weaker and as needy of protection have continued. However, modern environments bear little resemblance to the demanding conditions that existed during primitive times. Both men and women now work outside the home. However, according to Melia and Lyttle, major difficulties for women exist even today.

They suggest that too many women posses a "modern cave mentality" by believing that they can contain and control their environments; that they are entitled to male protection; and that they need only be concerned with self-interest and associate only with those interested in their well-being. Melia and Lyttle believe that women still attempt to control their environments by negotiating for male protection in the form of regulatory actions protecting their rights. Women still are operating in a male-dominated system whose origins are grounded sociopolitically in teamwork and mutual support.

Men accommodate and protect women by passing the legislation women demand, by professing support for women's issues, and by defending women's rights to equality and justice. Men also include women "in the hunt." However, just as in ancient times, men continue to respond to danger by grouping together.

IMPLICATIONS OF THE INEQUALITY OF POWER

Men and women operate according to different rules within different sociopolitical systems. Men tend to work toward group goals within the constraints of the environment, while women tend to expect accommodation from the environment while working toward individual goals. Consequently, women entering the male-dominated system expect the system to conform to their expectations, and the male system expects women to play by men's rules. For Melia and Lyttle, the issue is not about which system is better. Rather, the issue is the fact that female socialization does not teach women how to survive in male-dominated systems. Melia and Lyttle conclude that women's success depends entirely on women's learning to play by men's rules. They believe that women must learn to function effectively within the male-dominated system because the system is unlikely to change for them. Until women learn to adapt to the system, they are unlikely to be fully accepted, for the following reasons:

- The system will not allow it;
- Women accept the system; and
- Women have not yet learned how to change the system.

REFERENCES

Gilligan, C. (1982). *In a different voice: Psychological theory and women's development.* Cambridge, MA: Harvard University Press.

Greiner, L.E., & Schein, V.E. (1988*). Power and organization development: Mobilizing power to implement change.* Reading, MA: Addison-Wesley.

Melia, J., & Lyttle, P. (1986). *Why Jenny can't lead: Understanding the male-dominant system.* Grand Junction, CO: Operational Politics.

GOAL ANALYSIS

When managers are asked to state their goals, they often make what instructional technologist Robert Mager (1984) calls *fuzzy* (vague) statements. For example, "Make the company a better corporate citizen" and "Instill pride in the organization" are fuzzy goal statements. The goals presented in the previous statements are so imprecise that there is no way to determine whether they have been achieved.

Mager's system of goal analysis is designed to take fuzzy goal statements and turn them into rigorous descriptions of observable performance. Mager uses the question, "How will I know one when I see one?" (1984, p. vii) as a barometer for goal precision. The goal-analysis system has five steps:

1. ***Commit the goal to paper.***
2. ***Brainstorm and record all possible criteria that a person must meet in order to achieve the goal.***
3. ***Refine the list of criteria.***
4. ***Restructure the list of criteria into complete sentences.***
5. ***Ask whether someone who met the specified criteria would have achieved the goal.***

The figure on the next page illustrates an example of the goal-analysis process.

STEP ONE: WORDS ON PAPER

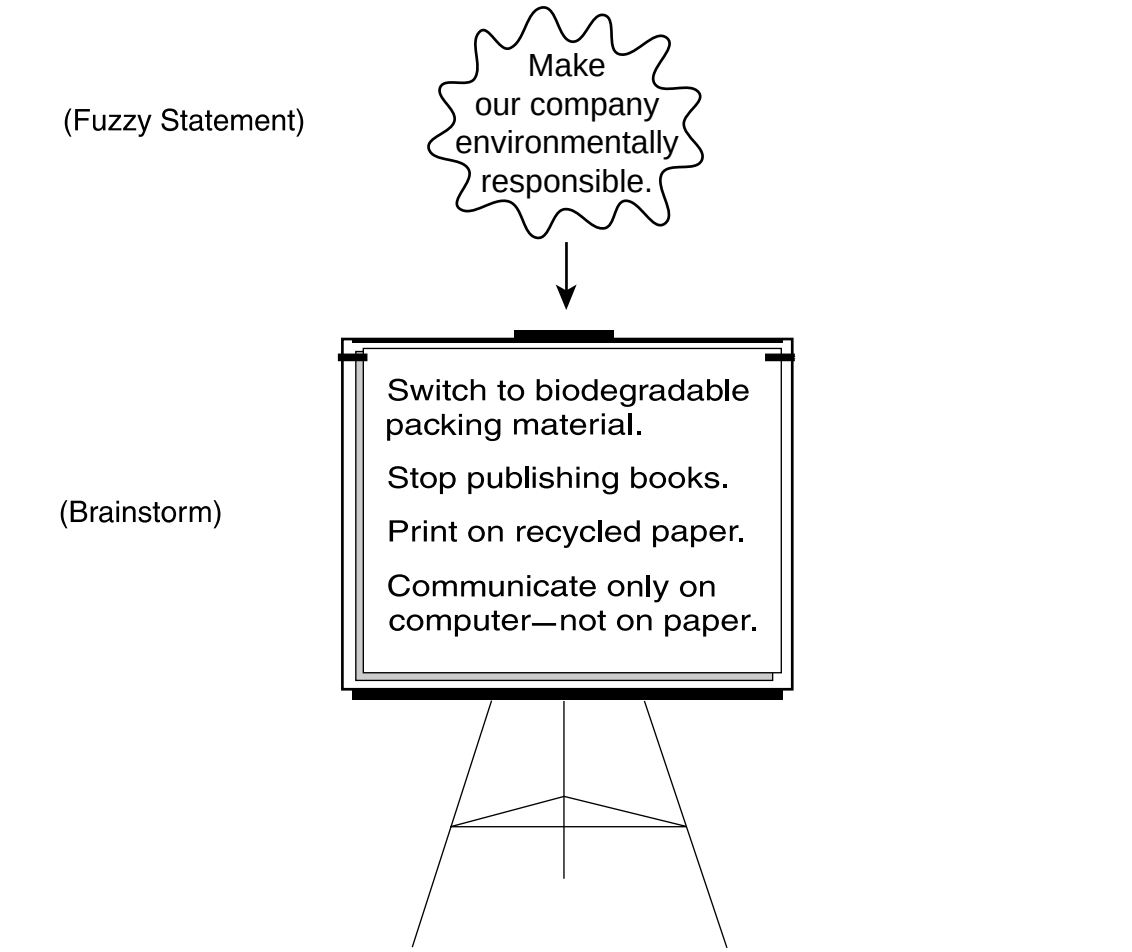
The purpose of step one simply is to set the process in motion. Regardless of how imprecise or fuzzy the goal description is at this point, having some thoughts on paper is an essential first step. Goal statements need not be complete sentences. Later, the fuzzy statement will be revised into a specific goal with measurable criteria.

Mager points out an advantage to the fuzziness that occurs at the beginning of the goal-formulation process:

> It is "politically" useful. People can always agree with each other on the importance of vaguely stated intentions. They will all tend to agree that things like "good customer relations," "good citizenship," and "ethical conduct" are fine things to have. They will *not* necessarily always agree on the specific actions that should represent the definition of those things. (p. 38)

STEP TWO: "OPERATIONALIZATION" OF GOALS

When social scientists conduct research, they define variables in terms of the "operations" or performances that they use to manipulate the variables. They do this



Example of Mager's Process of Goal Analysis

because the qualities that they are measuring (such as "conformity") are nontangible; unless they are defined—*operationalized*—in terms of observable behaviors, they cannot be observed or measured.

Therefore, when Mager recommends that fuzzy goal statements be converted into lists of performances in step two, he is asking managers to operationalize their expectations. By attaching observable measures of performance to abstract goals, managers are making invisible qualities observable and measurable.

Mager recommends the following strategies for step two:

- Consider which behaviors would serve as acceptable evidence that the goal has been fulfilled;
- Choose criteria for sorting a group of people into a goal-achieving group and a nonachieving group;
- Decide how to instruct someone to identify the goal achievers; and
- Write a description of a goal achiever.

Mager recommends that managers who are performing step two of goal analysis use traditional brainstorming techniques to create their lists of measures of goal achievement. In brainstorming, all ideas—no matter how wild or improbable they seem—must be recorded, and none can be criticized. The most fanciful or frivolous ideas often turn out to be the most fruitful. Discussion and criticism is forbidden during brainstorming, because people tend to censor themselves in fear that they will be ridiculed. After the brainstorming session, one can sift through the ideas and choose the best ones.

STEP THREE: REFINEMENT

Step three of the goal-analysis process requires the elimination of ideas that are redundant or that should not be on the list of criteria. During this step, one should repeat steps one and two for any criteria that still are fuzzy.

STEP FOUR: REWRITE CRITERIA AS COMPLETE STATEMENTS

In step four, the refined performance criteria are rewritten into complete sentences. The primary purpose of this step is to express the goal clearly, completely, and accurately. The sentences should describe in detail the type, quality, and quantity of the behavior required to meet the standards for goal achievement. For example, the fuzzy goal could be "pride in our organization." A preliminary criterion of that goal could be, "employees recommend that colleagues apply for jobs here." In step four, the above criterion could be rewritten to state:

> Recognizing that competition in our industry requires attracting personnel with highly specialized skills, our organization wants each technician or other professional employee to nominate to the

personnel department three qualified colleagues, whose names will be placed on our mailing list to announce career opportunities occurring as a result of next year's forecasted growth.

The preceding sentence explains *what* the desired performance is, *who* will perform it, *why* the performance is desired, *how much* performance is desired, and *how* it will be carried out.

STEP FIVE: THE FINAL ANALYSIS

For step five, Mager suggests that goal analysts test the statement by asking "If someone achieved or demonstrated each of these performances, would I be willing to say he or she has achieved the goal?" (p. 74). This is Mager's acid test for completion of the goal analysis.

REFERENCE

Mager, R.F. (1984). *Goal analysis* (2nd ed.). Belmont, CA: Pitman Learning.

LEADER EFFECTIVENESS

Fiedler (1969, 1974) believes that a leader's effectiveness and influence on a group is determined by certain variables pertaining to the work environment as well as by the leader's personality. Fiedler developed the leadership-effectiveness model (also known as the contingency model), which identifies two types of leaders and the group situations in which those leaders are most effective. In the model, group situations are classified according to three major factors: *leader-member personal relations*, *task structure*, and the *leader's position power*.

Leader-member relations refers to the degree of respect, admiration, trust, and affection that exist between the leader and the group members.

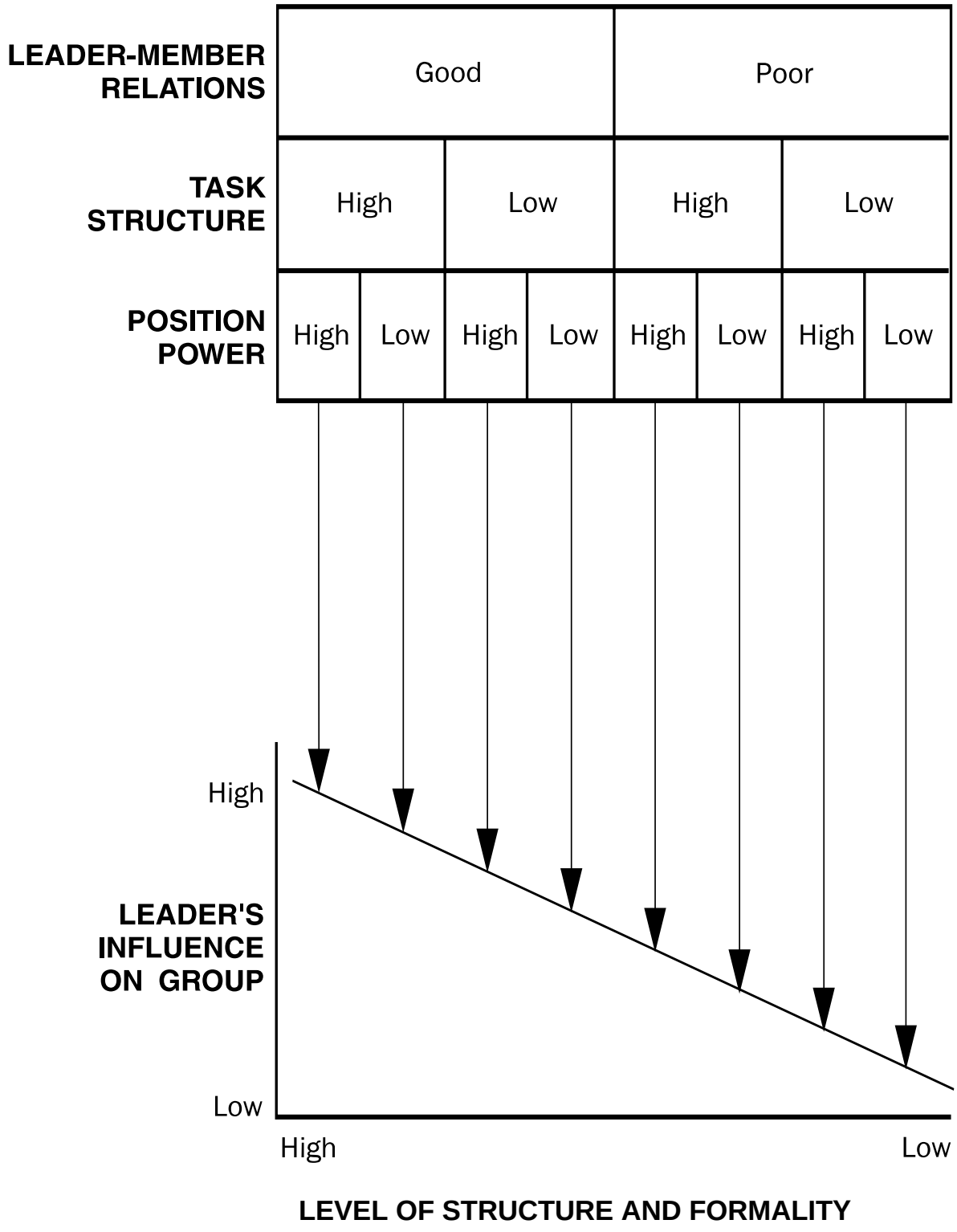
Task structure determines the degree to which the group's assignments are rigid and specific. High task structure allows group members little choice of what to do and how to do it; low task structure gives the group a great deal of autonomy.

Position power is the leader's perceived authority. Position power usually is measurable to some extent and is acknowledged by group members.

Fiedler believes that leader-member relations are the dominant factor in determining leader effectiveness; that task structure is the second most important factor; and that position power is the third most important factor. However, all three factors must be examined to assess the quality of interactions between leaders and group members. For example, a leader who has poor relationships with group members, a loosely structured task system, and low position power probably is not very effective. On the other hand, a leader who enjoys good relationships, highly structured tasks, and high position power probably is highly effective in the group's operation. The figure on the next page depicts the leader-effectiveness model.

If the leader has good relationships with the group members and enjoys a high degree of position power, and if the group has a high task structure, the leader will tend to have a high influence on the group. However, a leader who does not have good relationships with group members, has low or little position power, and whose group has a low task structure, will be able to exercise little influence.

The style of leadership employed also influences leader effectiveness. Fiedler characterizes leaders as *task oriented* or as *relationship oriented.* Fiedler's research indicates that leadership style can render a leader effective in certain situations and ineffective in others. Task-oriented leaders proved to be more effective at the extremes of the scale—in positions of either high influence or low influence—than in positions of medium influence. Relationship-oriented leaders, on the other hand, seemed to be more effective in medium-influence positions. In other words, task-oriented leaders are more effective in positions that offer good working relationships with subordinates, highly



The Leader-Effectiveness Model

structured environments, and high power *or* in positions in which relationships with subordinates are poor, working environments are loosely structured, and the level of power is low. Relationship-oriented leaders are more effective in situations offering moderate levels of relationships, task structure, and power.

USES OF THE LEADER-EFFECTIVENESS MODEL

In keeping with the notion of a "fit" between the leader's preferred style and his or her job, Fiedler suggests that people in positions of leadership can improve their effectiveness by seeking situations that favor their particular leadership styles. To accommodate this thinking, organizations can match leaders to appropriate work groups and, perhaps, can alter leaders' authority, task structure, and styles of relating so that leaders' positions better suit their styles.

REFERENCES

Fiedler, F.E. (1969). Style or circumstance: The leadership enigma. *Psychology Today, 2*(10), 38-43.

Fiedler, F.E. (1974). The contingency model—new directions for leadership utilization. *Journal of Contemporary Business, 3*(4), 65-79.

SOURCE

Boshear, W.C., & Albrecht, K.G. (1977). *Understanding people: Models and concepts.* San Diego, CA: University Associates.

THE LEADERSHIP CONTINUUM

Tannenbaum and Schmidt (1958) developed the leadership continuum to illustrate the conflict between the traditional manager, who tries to maintain authority and control, and the subordinate, who wants to be treated in a fair and democratic manner. This was in response to the eroding barrier between leader and follower that the superior-subordinate relationship formerly represented. Social science has placed a new emphasis on the entire work group rather than on the leader alone. Managers today are judged not only on their own performances but also on their ability to elicit high performance from their subordinates.

The leadership continuum is illustrated at the end of this article. The continuum presents the range of leadership behaviors available to a manager; it also displays the level of authority demonstrated and its correspondence to subordinates' freedom. The behaviors range from very controlling (left-hand side of continuum) to very open (right-hand side of continuum). Following is a brief description of each level of managerial behavior.

- ***Deciding and Announcing.*** This is the most controlling and authoritarian level of behavior. This type of manager identifies problems, decides on solutions, and informs subordinates of the actions they will take. There is no room for discussion or disagreement at this level; subordinates play no part in the decision-making process.
- ***Deciding and Selling.*** The manager who "sells" his or her decisions to subordinates also is quite controlling, i.e., does not allow subordinates to participate in decision making. However, this manager does try to persuade subordinates to accept and agree with the decisions. The manager who tries to sell decisions to subordinates most likely tries to point out how they will benefit from the decisions.
- ***Presenting and Inviting Questions.*** This type of manager has made a decision and wants his or her subordinates to fully understand the rationale that was involved in reaching the decision. Questions from subordinates are welcomed; ideally, a give-and-take discussion will result.
- ***Presenting a Tentative Decision.*** Here, for the first time, we see a managerial attitude that allows some subordinate influence. In this scenario, the manager presents a tentative decision along with the rationale behind it. Feedback from subordinates is solicited and can influence the manager's final decision, which he or she makes alone.

- ***Seeking Suggestions Before Deciding.*** This type of behavior differs from the previous type in that the subordinates are given the first chance to suggest solutions. The manager serves primarily as a facilitator: presenting the situation, asking the subordinates to identify the problem and to suggest ideas for solving the problem, and then stepping in and selecting what is, in the manager's opinion, the best solution. This behavior makes use of the subordinates' expertise, which the previous behaviors do not.
- ***Defining Limits, Requesting a Group Solution.*** In this scenario, the manager defines the problem for the group members and establishes limitations on possible solutions (i.e., cannot cost more than X number of dollars, must be compatible with a certain product line, etc.). Then the manager gives the employees "free rein" to come up with and decide on an appropriate solution that conforms to the preset limits.
- ***Team Decision Making: The Manager As Part of the Group.*** Decision making within the group is most commonly found in research teams and the like. A manager who espouses this process participates not as a leader but as part of the group and has no more say than anyone else. In this type of decision-making process, the team identifies the problem and suggests and then selects solutions. If any limits on the group exist, they are imposed by the manager's boss (who is not part of the team), not by the manager.

When comparing a manager to the Leadership Continuum, it is important to consider the following four "managerial-style factors."

1. ***Managers always are responsible for their subordinates' actions.*** Despite the fact that some managers prefer to delegate responsibilities to subordinates, they still are in charge and still are accountable for the end results. Different managers prefer different amounts of delegation; this often can be explained by examining the degree to which the *manager's boss* delegates responsibility.
2. ***Delegation does not always mean lack of participation by a manager.*** There are times when it is best that a manager, having delegated a task or responsibility to a subordinate, should leave the subordinate alone to accomplish the task. Other times, however, the manager's participation as an equal member of a work team is most effective. The latter tends to be more often the case. It is important in these circumstances for the manager to make it clear that he or she is a *member* of the group, not its leader.
3. ***Effective communication between manager and subordinates is essential—especially where the manager's behavioral style is concerned.*** The manager and subordinates both must understand and concur on the manager's intended behavioral style. This is not to say that the subordinates must approve of the manager's style; they must, however, be clear about how the manager intends to

use his or her authority and how they are expected to participate in problem solving, decision making, and implementation of decisions.

4. ***Managers' trust and ability to delegate is best judged by the importance of decisions delegated to subordinates, not by sheer numbers.*** The employees with the most freedom and "say" are those who are allowed to make the most *important* decisions, not necessarily those who are allowed to make the greatest number of decisions.

The leadership continuum, although it is an effective means of judging and categorizing managerial styles, does not prescribe a style to suit a given situation. To do this, managers must consider the following three factors:

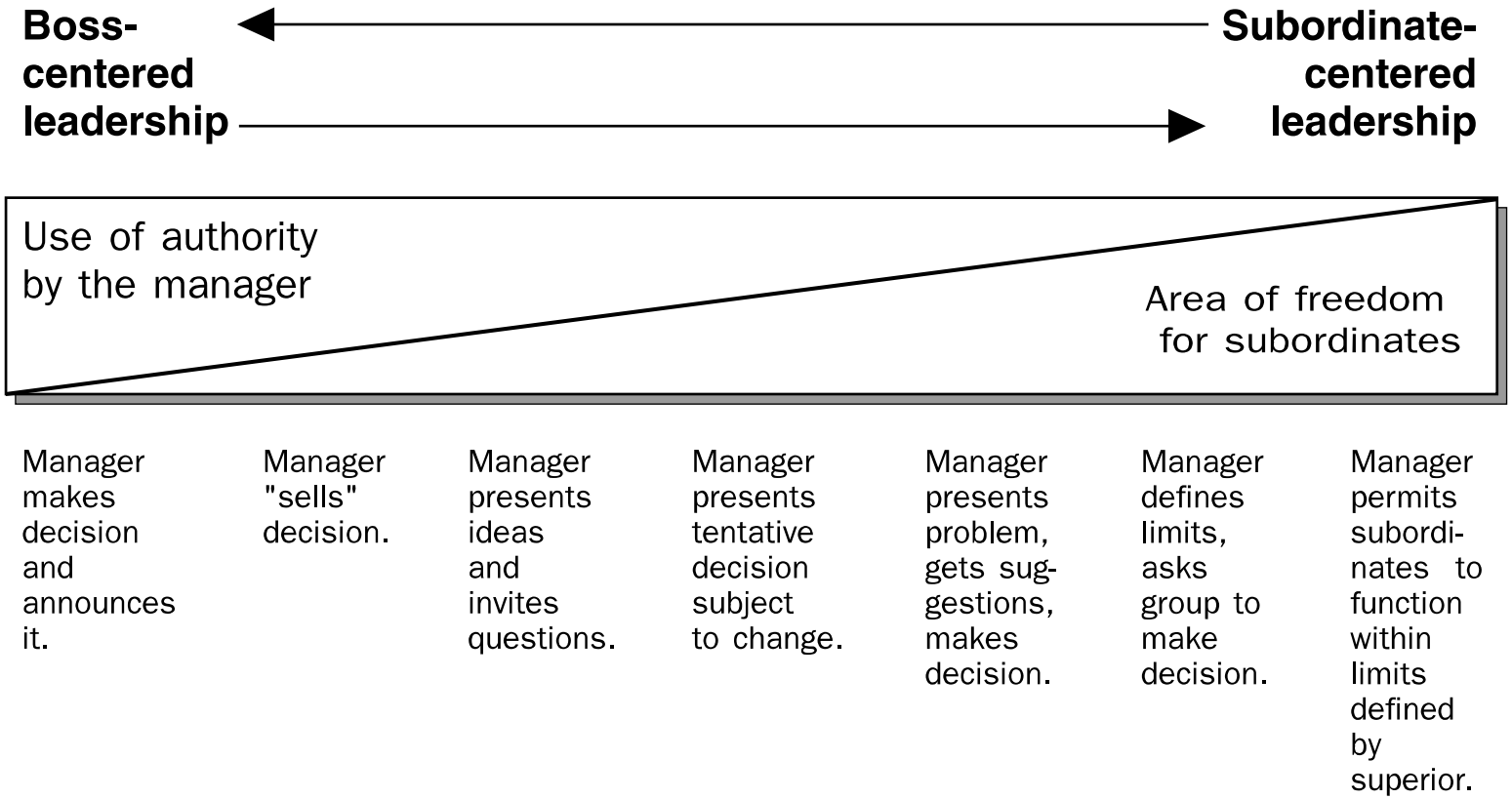
1. Managerial factors (personal value system, trust and confidence in subordinates, personal leadership style, need for control when making decisions). Each of these factors influences a manager's attitudes about control, delegation of responsibility, and so on.
2. Subordinate factors (desire for independence and responsibility, acceptance of uncertainty, interest, comprehension, and motivation to solve problems). The degree to which subordinates trust and respect their bosses (and, conversely, the degree to which they are shown trust and respect) will influence the subordinates' attitudes about the above factors.
3. Situational factors (type of organization, effectiveness of work teams, time pressures, and type of problems). Each of these considerations will help dictate appropriate managerial behavior. The military, for example, is not very conducive to delegation and manager-as-team-member behavior. Likewise, the group fraught with interpersonal strife and lack of confidence will require a greater amount of dictatorial management than will the harmoniously operating work team. The nature of each individual problem also will influence the manager's strategy. Finally, time constraints placed on the manager will affect his or her ability to involve others. The greater the deadline pressure, the less time the manager will have to deal with subordinates.

In conclusion, a manager's ability to remain flexible and to deal with each problem separately will help to ensure that each situation is dealt with appropriately and that the most effective managerial strategy is employed.

REFERENCES

Tannenbaum, R.T., & Schmidt, W.H. (1958, March-April). How to choose a leadership pattern. *Harvard Business Review*, 36, 2, 95-101.

Tannenbaum, R.T., Weschler, I.R., & Massarik, F. (1961). *Leadership and organization: A behavioral science approach.* New York: McGraw-Hill.



Continuum of Leadership Behavior

LEADERSHIP PRACTICES

James Kouzes and Barry Posner (1987, 1988) have identified specific attitudes and behaviors that outstanding leaders have in common. Exemplary leaders share the following five *behavioral practices* and ten *commitments:*

1. Exemplary leaders ***challenge the process.*** They are pioneers; they seek out new opportunities and are willing to change the status quo. They innovate, experiment, and explore ways to improve their organizations. Such leaders view mistakes as learning experiences and are prepared to meet any challenges that confront them. Challenging the process requires two leader commitments: (a) to *search for opportunities* and (b) to *experiment and take risks.*
2. Exemplary leaders ***inspire a shared vision.*** They look toward and beyond the horizon. They envision the future with a positive and hopeful outlook. Exemplary leaders are expressive; their genuine natures and communication skills attract followers. They show others how mutual interests can be met through commitment to a common purpose. Inspiring a shared vision requires leaders to commit to (a) *envisioning the future* and to (b) *enlisting the support of others.*
3. Exemplary leaders ***enable others to act.*** They instill followers with spirit-nurturing relationships based on mutual trust. Exemplary leaders stress collaborative goals. They actively involve others in planning and permit others to make their own decisions. These leaders make sure that their followers feel strong and capable. Enabling others to act requires two leader commitments: (a) to *fostering collaboration* and (b) to *strengthening others.*
4. Exemplary leaders ***model the way.*** They are clear about their values and beliefs. Exemplary leaders keep people and projects on course by consistently behaving according to these values and by modeling the behaviors that they expect from others. They plan thoroughly and divide projects into achievable steps, thus creating opportunities for small wins. Through their focus on key priorities, such leaders make it easier for others to achieve goals. To model the way requires leaders to commit to (a) *setting an example* and to (b) *planning small wins.*
5. Exemplary leaders ***encourage the heart.*** They encourage people to persist in their efforts by recognizing accomplishments and contributions to the organization's vision. They let others know that their efforts are appreciated and they express pride in their teams' accomplishments. Exemplary leaders find ways to celebrate achievements. They nurture team spirit, which enables people to sustain continued efforts. Encouraging the heart requires leaders to be

committed to: (a) *recognizing contributions* and (b) *celebrating accomplishments.*

THE LEADERSHIP PRACTICES INVENTORY

Development of the Instrument

To carry out their research, Kouzes and Posner (1987, 1988) developed a twelve-page questionnaire[3] that they administered to a large sample of senior and middle-level managers in a variety of organizations in the public and private sectors. The questionnaire consisted of thirty-eight open-ended items that asked respondents to describe "personal bests" such as experiences in which they accomplished something extraordinary in their organizations. The respondents were asked to describe personal bests in terms of situations, opportunities and challenges, desired outcomes, ways in which others were involved, specific actions, and learnings (Kouzes & Posner, 1987). In addition, forty-two detailed personal interviews were conducted; in each, the manager stated his or her criteria for leadership excellence.

Description, Administration, and Scoring of the Instrument

Derived from the questionnaire described previously, the Leadership Practices Inventory (LPI), developed by Kouzes and Posner in 1988, is a thirty-item instrument designed to assess leadership practices. The LPI is available in two forms: the LPI-Self is designed for leaders and managers to use as a self-assessment, and the LPI-Other is designed to be completed by the leaders' associates.

Each inventory item is a statement such as "I seek out challenging opportunities that test my skills and abilities." Each statement describes one of the five leadership practices that are components of exemplary leadership. Respondents are asked to indicate, on a five-point Likert scale, the extent to which the leader typically engages in that particular action or behavior.

Scores can be interpreted in various ways. One can compare:

- The differences between one's own perceptions and others' perceptions of one's leadership style;
- Percentile scores to a normative sample;
- Response patterns; or
- Each statement in an item-by-item analysis.

[3] *The Leadership Practices Inventory (LPI)* is available from Jossey-Bass/Pfeiffer.

REFERENCE

Kouzes, J.M., & Posner, B.Z. (1987). *The leadership challenge: How to get extraordinary things done in organizations.* San Francisco: Jossey-Bass.

SOURCE

Kouzes, J.M., & Posner, B.Z. (1988). *Leadership practices inventory: A self-assessment and analysis.* San Diego, CA: Pfeiffer & Company.

Challenging the Process

- Searching for Opportunities
- Experimenting

Inspiring a Shared Vision

- Envisioning the Future
- Enlisting Others

Enabling Others to Act

- Fostering Collaboration
- Strengthening Others

Modeling the Way

- Setting an Example
- Planning Small Wins

Encouraging the Heart

- Recognizing Contributions
- Celebrating Accomplishments

Practices of Exemplary Leaders

LEADERSHIP STRATEGIES

According to Bennis and Nanus (1985), never before has there been a greater need for strong organizational leadership. Unfortunately, in the face of increasingly complex technology and rapid environmental change, leaders' ability to lead is declining rather than rising to meet the challenge. This has led to what Bennis and Nanus term a *leadership void,* which affects organizational management and leads to "managerial mayhem," in which management becomes paralyzed by increasing resistance to change, minimum commitment from employees, and decreased management credibility. As a result, organizational effectiveness and efficiency decline and negatively affect the organization's ability to survive.

Bennis and Nanus suggest that one solution to organizational inefficiency is for leaders to learn how to lead. This is not an easy task, however; leadership has been one of the most-studied aspects of organizational life, yet remains one of the least understood. Fortunately, the study of leadership continues to evolve in its understanding of what leadership is, how it works, and how it should be applied.

LEADERSHIP AND VISION

Leaders ultimately are responsible for adapting their organizations to change. They must create a sense of organizational direction in a way that builds confidence and increases employees' commitment to the organization's mission. In other words, leaders *create the vision that defines organizational purpose* through their abilities to stimulate employees to perform in a way that gives form to the vision. Bennis and Nanus call the energy to create and sustain such action *power.* They believe that power is an essential component of leadership; leadership is regarded as the "wise use of power" when transforming visions into reality.

The wise use of power includes the ability to *empower* others to follow the vision. Power involves a transaction between leader and follower much like the transformational leader-follower transactions described by Burns (1978). Thus, *transformative leadership* evolves when leaders are neither born nor made but emerge when problems are encountered.

THE FOUR LEADERSHIP STRATEGIES

In an effort to identify the components of effective leadership, Bennis and Nanus (1985) conducted a two-year study. From their research, four distinct leadership competencies or strategies emerged:

- ***Attention through vision;***
- ***Meaning through communication;***
- ***Trust through positioning;*** and
- ***Deployment of self.***

Strategy One: Attention Through Vision

Bennis and Nanus (1985) believe that power is an essential component of leadership. Furthermore, they believe that the ability to inspire people by communicating the organization's *vision and mission* is fundamental to leadership effectiveness. Without a leader's vision, followers would have no direction. A vision creates a focus or an agenda, outlines expectations, and states explicitly what is required of followers.

An organization's vision may be as vague as a dream or as specific as a formalized mission statement. Whether vague or specific, a vision always refers to some desired future state; focuses followers' attention; elicits commitment; and is realistic, appealing, and attainable. Others cannot be coerced into adopting a vision; they must be persuaded and influenced.

Strategy Two: Meaning Through Communication

Leaders also must be able to convince their followers that their visions are *meaningful.* Bennis and Nanus found that, although leaders' styles and methods vary, all effective leaders are skilled at communicating and managing meaning. Meaningfulness is more than having data or knowing how to do something; it is aligned with the knowledge of what should be done. People find meaning through knowing *why* before they know *how.*

Effective leaders bestow meaning by becoming "social architects" who understand and shape the social architecture (organizational culture) of an organization. Social architecture is much like organizational norms and values but has a stronger connotation and suggests that leaders can *influence* restructuring and change. Social architecture is characterized by its origins; the organization's nature; its basic operating principles; its methods of information management and decision making; and the power, status, and influence granted to members of the organization.

Effective leaders communicate meaning and transform social architecture by:

- Creating a new and compelling vision capable of leading the organization in new directions;
- Developing commitment to the vision; and
- Institutionalizing the vision.

Strategy Three: Trust Through Positioning

Trust is the oil that helps the organization's wheels turn and the major part of the emotional connection between leaders and followers. To say that trust exists implies that

elements of predictability, reliability, and accountability are present. *Positioning*, on the other hand, refers to a set of actions necessary to implement the vision. In other words, *visions* are ideas, and *positions* are actions taken by leaders to fulfill visions.

In order for trust to develop, two essential factors must be present:

- The vision must be well articulated, appealing to followers, and attainable; and
- The position of the leader must be clear.

Trust occurs because followers are able to predict the actions of their leaders. Accordingly, leaders who take a position are accountable for the consequences. For Bennis and Nanus, the nature of a leader's position is not as important as the leader's ability to communicate integrity and to inspire follower commitment to the leader's vision.

Strategy Four: The Deployment of Self

The *deployment of self* refers to leader characteristics such as persistence, self-knowledge, self-discovery, willingness to take risks and to accept the possibility of failure, consistency, and, most of all, a personal commitment to learning. Bennis and Nanus believe that learning is "essential" for leaders and suggest that effective leaders know how to learn from their followers and from their organizational environments. According to Bennis and Nanus, effective leaders tend to possess the following five beliefs or characteristics:

- ***Acknowledgment that uncertainty exists;***
- ***Realization that errors and mistakes lead to learning and improvement;***
- ***A future orientation;***
- ***Interpersonal competence;*** and
- ***Self-knowledge.***

Deployment of self involves self-improvement (self-management). Effective leaders make it a personal goal to become aware of their strengths as well as their weaknesses in order to continue to improve and to develop positive self-regard. There are three fundamental skills that must be developed before one achieves positive self-regard: (a) emphasis on strengths and improvement on or compensation for weaknesses; (b) nurturing skills; and (c) the ability to determine the degree of fit between acquired skills and the skills needed to fulfill one's vision. Positive self-regard or self-efficacy makes it possible for a full deployment of the self and high levels of *emotional wisdom* and maturity. For Bennis and Nanus, emotional wisdom is reflected in one's treatment of others and includes:

1. The ability to accept others the way they are, not as one would like them to be.
2. The capability to approach problems and relationships in terms of the present rather than in terms of the past.

3. The ability to treat close friends and loved ones with the same courtesy and respect that one extends to casual acquaintances and strangers.
4. The ability to trust even when the risk is great.
5. The ability to function well without continual validation, approval, or recognition from others.

The leadership patterns that evolve from the use of the above four leadership strategies are termed *transformative leadership.* It is transformative in the sense that the collective dreams of organizational members are mobilized by the leader. The collective dreams then become *causal* and allow leadership to create and develop organizations that empower organizational members to satisfy their own wants, desires, and needs.

REFERENCES

Bennis, W., & Nanus, B. (1985). *Leaders: The strategies for taking charge*. New York: Harper & Row.

Burns, J.M. (1978). *Leadership.* New York: Harper & Row.

LEADERSHIP SUBSTITUTES

All theories and models of leadership attempt to explain the impact of various aspects of leadership on subordinates' attitudes, performance, and effectiveness. Kerr and Jermier (1978) observe that (a) most theories of leadership do not adequately account for the variability of subordinates' attitudes and behavior, and (b) most theories place undue importance on hierarchical relationships. They conclude that hierarchy-based leadership models may obscure the true nature of leader-subordinate relationships.

According to Kerr and Jermier, leadership (motivation, direction, and control) often is shaped by situational factors such as organizational demands, the nature of tasks, and the personal attributes of employees. For example, intensive production requirements and schedules may best be served by directive leadership; customer-service requirements may warrant rigid operational procedures; and an employee's need for structure and direction may best be met through authoritarian leadership. In other words, contextual and human concerns often interact to determine which leadership style best allows leaders in hierarchical systems to lead. Other factors function to *neutralize or substitute* for leadership by restricting leaders' ability to influence subordinates' behavior.

NEUTRALIZERS AND SUBSTITUTES

Kerr and Jermier define a *neutralizer* as an agent with the power to inhibit, to cripple, or to counteract the effectiveness of something or someone. In the context of leadership, neutralizers describe people, tasks, or organizational attributes that make leadership impossible. For example, subordinates who perceive themselves as highly skilled and capable may at times disregard leaders' attempts to influence their behavior. Similarly, highly structured tasks and highly cohesive work groups may neutralize the effects of leadership, with procedures and group solidarity becoming the dominant influences. Overall, the effect is what Kerr and Jermier call an "influence vacuum," which can lead to a variety of dysfunctional behaviors.

Substitutes, on the other hand, are replacements. In the context of leadership, substitutes refer to people, tasks, or organizational attributes that render leadership not only impossible but unnecessary. For example, subordinates who perceive themselves as highly skilled and capable may disregard their leader's directions. In actuality, subordinates who truly are highly skilled and capable may not need leadership and direction. Thus, for these subordinates, the attributes of skill and ability function as substitutes for leadership, rendering external leadership unnecessary.

IMPLICATIONS FOR LEADERS

Kerr and Jermier assert that leaders engage in two types of behavior: *creating good feelings* and *providing guidance.* These two behaviors are analogous to what many have identified as *relationship behaviors* and *task behaviors.* The figure on the next page depicts Kerr and Jermier's representation of the neutralizing and substituting effects of various human, task, and organizational attributes.

IMPLICATIONS OF THE LEADERSHIP-SUBSTITUTE THEORY

The neutralizer-substitute differentiation is important because the attributes of people, tasks, and organizations can neutralize or substitute for leaders' abilities to exercise influence, depending on whether the attribute merely is perceived to be or actually is present. The implication here is that a leader's ability to influence people may, in itself, be influenced by more than his or her style of leadership.

REFERENCE

Kerr, S., & Jermier, J.M. (1978). Substitutes for leadership: Their meaning and measurement. *Organizational Behavior and Human Performance, 22,* 375-403.

	Tends to neutralize or substitute for leader influence in the area of	
Characteristic	Relationships and good feelings	Tasks and guidance
People Attributes		
1. Knowledge, training, ability, and experience		X
2. Need for independence	X	X
3. Professional orientation	X	X
4. Indifference toward organizational rewards	X	X
Task Attributes		
5. Unambiguous and routine		X
6. Methodologically invariant		X
7. Provides its own feedback concerning accomplishment		X
8. Intrinsically satisfying	X	
Organizational Attributes		
9. Formalization (explicit plans, goals, and areas of responsibility)		X
10. Inflexibility (rigid, unbending rules and procedures)		X
11. Highly specified and active advisory and staff functions		X
12. Closely knit, cohesive work groups	X	X
13. Organizational rewards not within the leader's control	X	X
14. Spatial distance between superior and subordinate	X	X

Substitutes for Leadership

Adapted from S. Kerr & J.M. Jermier, "Substitutes for Leadership: Their Meaning and Measurement." *Organizational Behavior and Human Performance, 22,* 375-403. San Diego, CA: Academic Press, 1978. Used with permission.

MANAGEMENT BY OBJECTIVES

Not all movement is progress. Our wheels often spin a great deal before we go anywhere, and this is particularly true in the case of work. In our professional lives, most of us have experienced fatigue without any compensating feeling of accomplishment.

During the mid-1960s, management professor George S. Odiorne reported on and explained a management system that Alfred P. Sloan had used much earlier to build General Motors into an industrial titan and that Thomas Watson, Senior, also had used to develop IBM (Odiorne, 1965). The system—management by objectives (MBO)—was taught to Odiorne by his mentor, Peter Drucker, who had consulted on management matters for General Motors. The principal merit of MBO was that it seemed to take a great deal of the "wheel spinning" out of productive endeavors. In the 1970s, MBO rapidly became a mainstay of "good management technique." In one form or another, MBO is still the prime model of supervision in many organizations.

WHAT IS MBO?

MBO is a systematic approach to directing, planning, and controlling the productive activities of organizations by *specifying desired outcomes* in considerable detail and by carefully *monitoring achievement.* In MBO, goals dictate the inputs (personnel and materiel) chosen for the system. Individual members of the organization then participate with their supervisors to set *personal objectives* that contribute to achieving the organization's overall goals. Under MBO, member activities are appraised in terms of the achievement of objectives. Performance appraisal focuses on outputs, not the characteristics of the members, and is designed to give employees a concrete sense of how well they are doing and how their objectives and efforts should be adjusted for the future. MBO apportions rewards in accordance with achievement of objectives, and new objectives are set at semiannual or quarterly performance appraisals.

Typically, in MBO, the goal-setting and performance-appraisal processes are formal. The goal-development and appraisal meetings are scheduled long in advance, and, ideally, a manager of the organization is specifically responsible for coordinating the activities of the MBO system. Goals are written down and become performance contracts between subordinates and supervisors.

THE SYSTEMS APPROACH TO MBO

It is difficult to overstress how important it is to view organizations as systems in order to conduct MBO successfully. Odiorne (1969, 1979) describes MBO as a systems

approach. According to Odiorne (1979, p. 9), Churchman (1968) has given us the most widely accepted definition of a *system:* ". . . a set of parts coordinated to accomplish a set of goals."

Briefly, systems consist of:

- inputs,
- activities (or throughputs),
- outputs,
- and feedback.

A home heating system is the classic example of a system that we encounter in the management literature. The air in the room is an *input*, whose temperature constantly is measured by a *feedback* device (the thermostat). The thermostat senses whether the room is as warm as is specified by the temperature setting. If the room is colder than desired, an electronic signal from the thermostat turns the furnace on, generating *activity*—the production of heat. The hot air is an *output* of the furnace, which soon becomes an input to be measured by the thermostat in a cycle that never ends, as long as the components of the system are switched on and continue to work correctly.

It is common in modern management theory to characterize organizations as systems. The figure at the end of this article portrays the view of organizations as systems.

MBO IS MUCH MORE THAN A PERFORMANCE-APPRAISAL SYSTEM

Organizational consultants have looked at work in a variety of ways. A classical way to assess employee performance was to ascertain that heads were down at the desk and elbows were moving at the work benches—that people were doing their jobs rather than "goofing off." The scientific-management movement's time-and-motion studies, which were popular in the early 1900s, operated on that premise. Later during the 1930s, emphasis on human relations factors led to psychology in the work place; managers were expected to observe the characters and traits of their employees. Both the scientific-management and the human-relations approaches miss essential ingredients of MBO's systems approach.

By emphasizing only inputs (efficient effort), the scientific managers fell into what Odiorne (1979) calls the *activity trap,* the mistaken notion that effort alone is indicative of success. Returning to the heating-system analogy, if the furnace is on full blast, but there is no insulation and all the doors and windows are open, the thermostat will tell the system to provide more heat to no avail. No amount of inadequately controlled effort will produce anything more than random activity.

The fallacy of the human-relations approach was to focus on another input (high-quality employees) and marginally on an output (employee satisfaction) without making

the essential effort to integrate outputs and inputs into a system. This would be analogous to buying the best furnace money could buy and praising it when the room is warm enough, but not bothering to turn it on.

MBO, in contrast to the scientific-management and human-relations approaches, focuses simultaneously on the input, activity (throughput), output, and feedback elements of the system. Because performance appraisal plays an important role in MBO, some managers mistakenly believe that MBO is merely a performance-appraisal system. It is much more than that. Saying that an organization's performance appraisal by itself is MBO is analogous to saying that a thermostat alone constitutes a heating system. MBO is a comprehensive system that encompasses goal setting, planning, supervision, performance appraisal, and rewards. To implement MBO, members of an organization need to profoundly change the ways in which they look at their enterprise.

MANAGERIAL ATTITUDES AND MBO

MBO is a set of attitudes for looking at the organization and its purpose as much as, or more than, it is a management technique. To be sure, MBO often does employ various techniques, such as goal-setting meetings and performance appraisals. Further, documents, such as mission statements and objective statements, play an important role in MBO, and supervisors must be trained to conduct MBO activities, such as performance appraisals. However, MBO will not succeed unless managers possess and communicate to employees an important set of attitudes, such as the following (Odiorne, 1987).

- That goal setting should occur throughout the organization, with all employees and managers having roles in determining their own objectives;
- That top managers must plan overall strategies and infect the rest of the organization with their enthusiasm for them;
- That top managers must develop policies and communicate them to the rest of the organization;
- That goal setting is an important skill that needs to be learned through formal training;
- That MBO requires continual follow-up to resolve problems, to teach important MBO skills, to counteract the possibility of apathy, and to keep the system alive and capable of generating new goals for the future.

REFERENCES

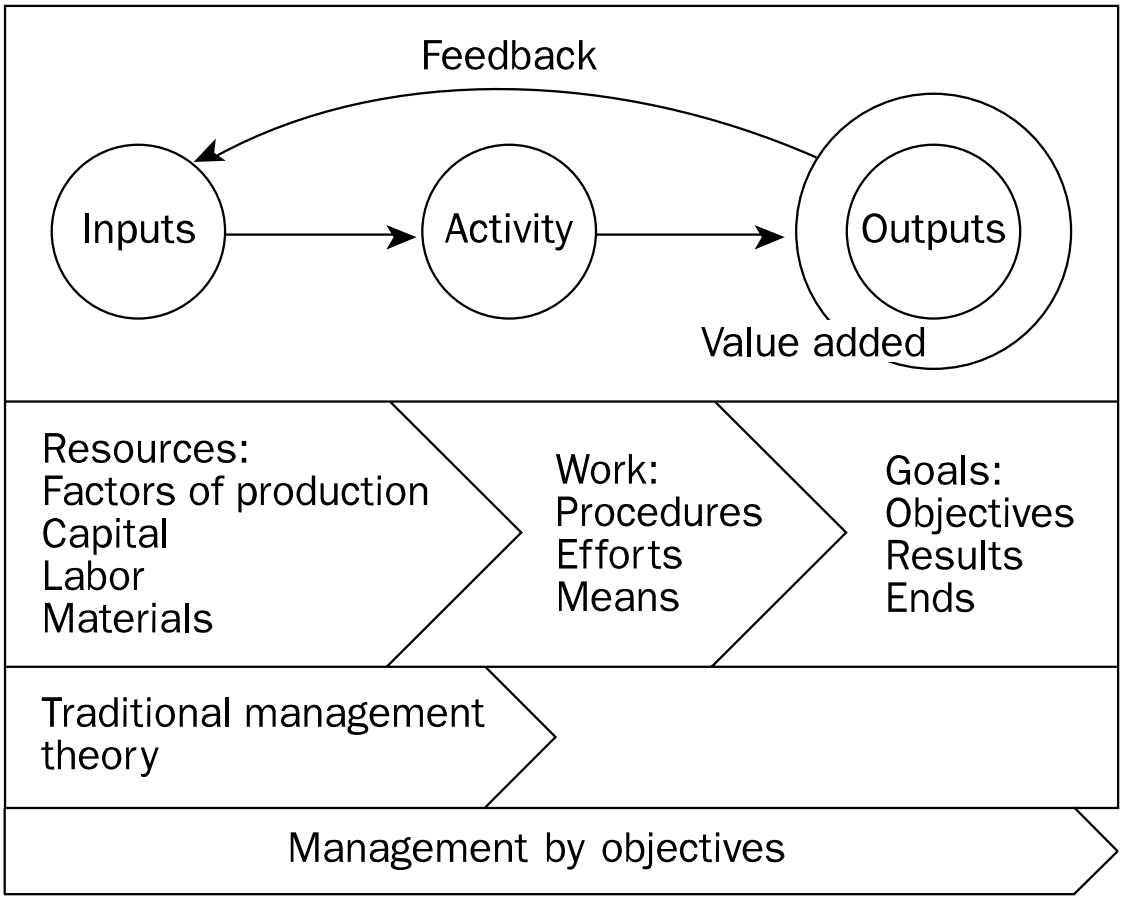
Churchman, C.W. (1968). *The systems approach.* New York: Delacorte Press.

Odiorne, G.S. (1965). *Management by objectives: A system of managerial leadership.* Belmont, CA: Fearon Pitman.

Odiorne, G.S. (1969). *Management decisions by objectives.* New York: Prentice-Hall.

Odiorne, G.S. (1979). *MBO II: A system of managerial leadership for the 80s.* Belmont, CA: Fearon Pitman.

Odiorne, G.S. (1987). *The human side of management: management by integration and self-control.* Lexington, MA: Lexington Books/San Diego: University Associates.



From G.S. Odiorne, *MBO II: A System of Managerial Leadership for the 80s* © 1979 by Lake Publishing Company. Used with permission.

THE MANAGERIAL GRID®

The Managerial Grid®, a two-dimensional model developed by Robert R. Blake and Jane S. Mouton (1964), clarifies the behavioral dynamics that enable a manager to assess and reconcile a concern for task accomplishment with a concern for people.

The figure illustrates the managerial-grid model. The graph's X axis represents the manager's *concern for production,* while the Y axis represents the manager's *concern for people.* The length of each axis is divided into a nine-point scale, with nine representing a high degree of concern for that issue and one representing a low degree of concern for that issue. A manager's style can be described in terms of number coordinates such as 1,9, 9,1, or with any other combination of numbers between one and nine.

There are eighty-one possible combinations of numbers within the grid. Of these, five—the combinations found in the four corners and in the middle of the grid—are considered the most significant for discussion and analysis and have been labeled as follows.

- ***1,1 (Impoverished Management).*** The manager who scores at the low end of both the concern-for-people and the concern-for-production axes is not committed to the organization's goals and has little regard for his or her employees. The impoverished manager exerts only the minimum effort necessary to meet organizational requirements.
- ***1,9 (Country-Club Management).*** The country-club manager adjusts work schedules in order to minimize the pressure on employees. This type of manager is especially concerned with employees' attitudes, morale, and well-being. The country-club manager primarily is concerned with maintaining a comfortable, friendly work atmosphere.
- ***9,1 (Task Management).*** Managers who operate from this perspective concern themselves only with the accomplishment of work-related tasks. They are indifferent to human factors such as employee well-being, morale, and satisfaction. Instead, they regard employees as tools for getting the work done. Managers who practice task management measure production carefully and work to keep their employees focused on performance.
- ***5,5 (Middle of the Road).*** The middle-of-the-road manager attempts to balance concern for production with concern for people. This type of manager tries to compromise evenly by choosing actions and decisions that will strike an acceptable balance between the goals of the organization and the needs of his or her employees.

- ***9,9 (Team Approach).*** Managers who favor the team approach stress teamwork through understanding, commitment, and involvement. They are likely to view themselves and their employees as team members rather than supervisor and subordinates. They try to motivate their employees to produce excellent work and to take personal pride in their accomplishments. Team-oriented managers believe that interdependent functioning leads to employee satisfaction as well as to high performance.

USES AND IMPLICATIONS OF MANAGERIAL-GRID® THEORY

Blake and Mouton (1964, 1975) refer to a manager's preferred and most-used style as the *dominant style.* Because people and situations change, however, reacting in the same way all the time would be rigid and impractical. Therefore, most managers have one or two alternative styles, which Blake and Mouton term *back-up styles.* A manager usually will use his or her dominant style first and will resort to a back-up style if use of the dominant style produces resistance in others.

Many managers and human resource development (HRD) professionals believe that the 9,9 (team-approach) style is the best managerial style. In many organizations, an emphasis on teamwork can help boost employee morale, loyalty, productivity, and job satisfaction. The current emphasis on team building and team development speaks to the widespread acceptance of this managerial style. However, one must consider that the team-oriented approach may not be appropriate in all organizational settings and that managerial effectiveness can be achieved with a number of the possible styles.

The managerial-grid model can be used to explore the relationship between task orientation and people orientation. The grid can serve as a simple and convenient discussion tool for clarifying the many options available to practicing managers and for teaching others, especially work groups, about the concept of management style.

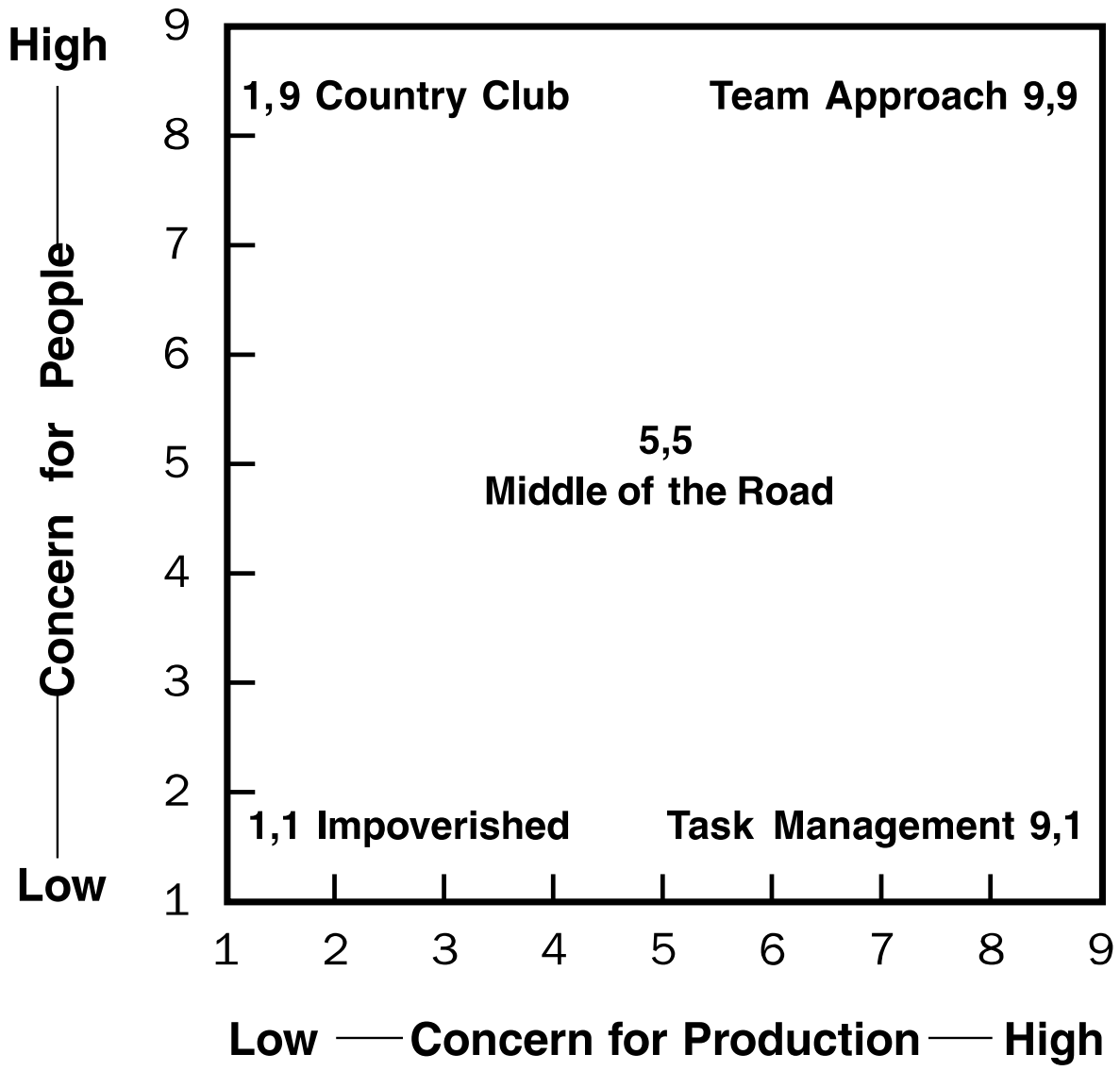
REFERENCES

Blake, R.R., & Mouton, J.S. (1964). *The managerial grid.* Houston, TX: Gulf Publishing.

Blake, R.R., & Mouton, J.S. (1975). An overview of the grid. *Training and Development Journal, 29*(5), 29-37.

SOURCE

Boshear, W.C., & Albrecht, K.G. (1977). *Understanding people: Models and concepts.* San Diego, CA: University Associates.



The Managerial Grid®

SITUATIONAL LEADERSHIP®

Human resource development (HRD) professionals have debated about which style of leadership is superior. Although some prefer a particular style, research indicates that no one leadership style is superior in all situations. Rather, as Hersey and Blanchard (1982) state, the best leaders are those who are adaptable to various types of people and situations.

THE SITUATIONAL-LEADERSHIP® MODEL

Hersey and Blanchard created the Situational Leadership®[4] model for use by managers in deciding what leadership styles are appropriate for various situations. The model, which is pictured on the next page, is a bell-shaped curve that passes through four quadrants. The X axis of the model represents *task behavior*, which is the degree to which the manager directs subordinates' behavior and tasks; and the Y axis represents *relationship behavior*, which is the degree to which the manager supports human factors such as morale, teamwork, and communication. Hersey and Blanchard believe that managers can evaluate individual situations and their subordinates' level of "readiness" and, using the model, can select the appropriate leadership style.

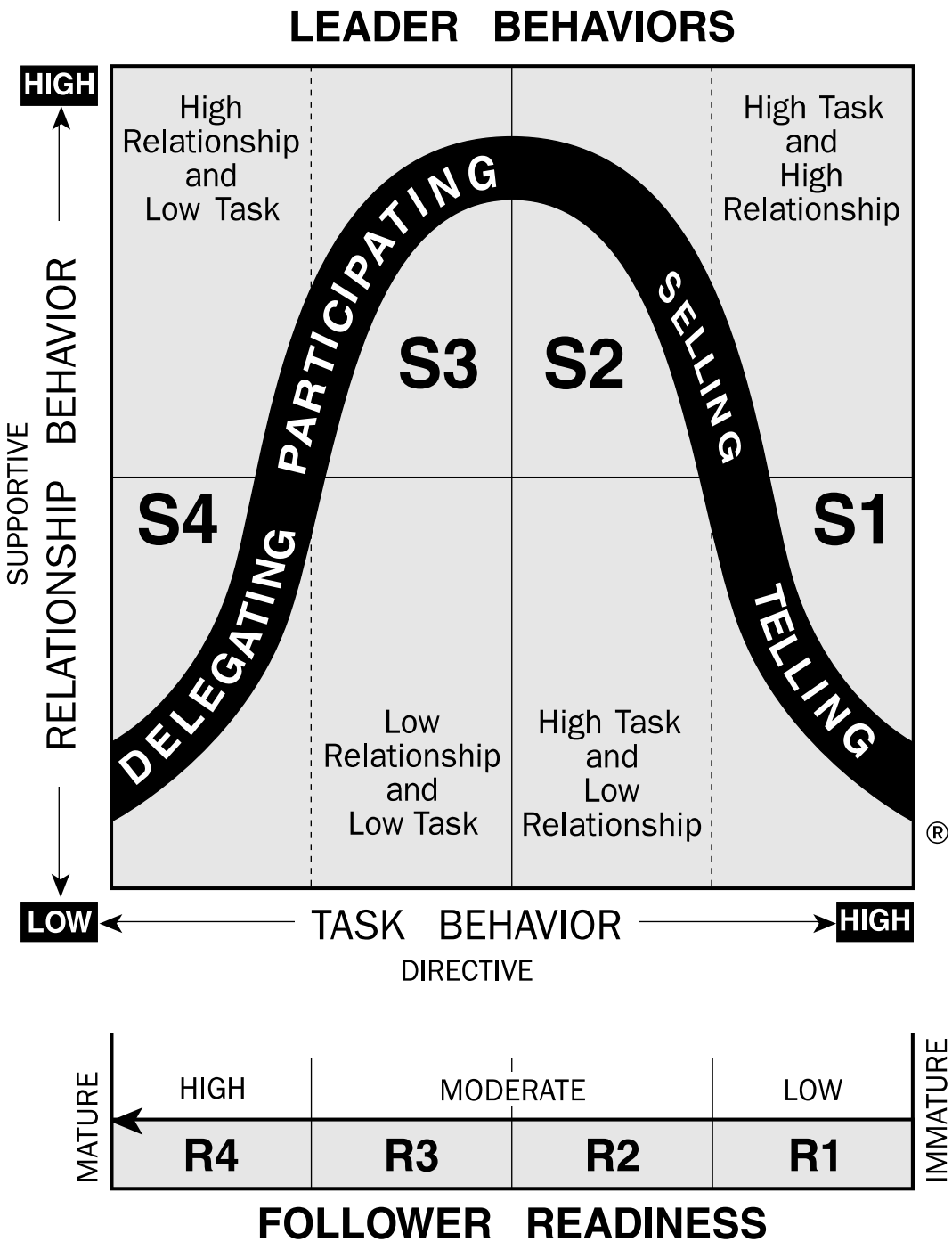
READINESS LEVELS

Situational Leadership® theory defines *readiness* as a person's *ability* and *willingness* to undertake a task or a responsibility. A person's level of readiness may vary with the task or responsibility in question; people do not have all-around readiness levels. In other words, a customer-service representative may have a high level of readiness for taking customer calls but may have a low level of readiness for filing the day's invoices. Therefore, managers need to adjust their leadership styles to account for subordinates' different levels of ability and willingness on different tasks.

How To Use the Situational Leadership® Model

According to the theory, managers should reduce task behavior (by allowing more autonomy and freedom of choice) and increase relationship behavior (by giving more emotional support and by acting as a facilitator rather than as a supervisor) as subordinates' levels of readiness increase. Once the subordinates have reached above-average readiness levels, however, managers should decrease not only task behavior but

[4] Situational Leadership is a registered trademark of Leadership Studies, Inc. Copyright 1976, 1988 by Leadership Studies, Inc. All rights reserved.



The Situational Leadership© Model

Reprinted from Paul Hersey and Kenneth H. Blanchard, *Situational Leadership® Model Handout.* San Diego, CA: Pfeiffer & Company, 1988. Used with permission of Leadership Studies, Inc., Escondido, CA.

relationship behavior as well. This serves to boost subordinates' confidence and commitment to the task or project. Subordinates who possess above-average readiness levels also generate their own self-reinforcement; managers' encouragement is unnecessary and may be perceived as lack of trust. As shown on the figure of the Situational Leadership® model, the scale of "follower readiness," which ranges from "mature" to "immature," coincides with the degree to which the manager must direct subordinates' activities.

Interpreting the Situational Leadership® Model

Hersey and Blanchard use the following abbreviations to refer to the four styles of leadership in the Situational Leadership® model:

- ***S1*** (high task/low relationship behavior);
- ***S2*** (high task/high relationship behavior);
- ***S3*** (high relationship/low task behavior); and
- ***S4*** (low relationship/low task behavior).

In addition, there are four abbreviations to represent the four levels of follower readiness: *R1* (low/immature readiness); *R2* (low to moderate readiness); *R3* (moderate to high readiness); and *R4* (high/mature readiness).

The bell-shaped curve that appears in the four quadrants of the model represents the leader's adjustments in behavior as his or her subordinates develop higher readiness levels. The one-word descriptions of the leader's behaviors, *telling, selling, participating,* and *delegating,* capture the essence of the behaviors and act as memory joggers.

- ***Telling*** means directing the employee in terms of the "what," "where," "how," and "when" of the job task. It is the S1 style, used with R1 employees who are not yet able and/or willing to perform the task. Detailed task instructions are needed, but relationship behavior is low, because one does not want to reward an employee for not performing well.

- ***Selling*** means focusing more on the "why" of the job task when discussing it with the subordinate. Although the leader still directs the task to be done, there is a decrease in task instruction and an increase in relationship behavior. It is the S2 style, used with R2 employees who are more able and/or willing, but not yet capable of performing the task on their own. It invites the subordinate to "buy into" or "own" the task and rewards the employee for the increase in ability and willingness to perform the task.

- ***Participating*** means acting as a colleague, an equal, in discussing the job with the subordinates who display moderate to high levels of readiness. Decisions about the task also are shared equally. It is the S3 style, used with R3 employees, who have the ability and knowledge to perform the task. There is more collaboration in the task aspect of the

job, but less relationship behavior from the manager in order to indicate that the employee is trusted to be self-motivated and self-regulating.

- ***Delegating*** means letting the employees get on with their jobs and stepping in only when they need support of some kind. It is the S4 style, used with R4 employees, who are both highly able and willing to direct their own task behavior.

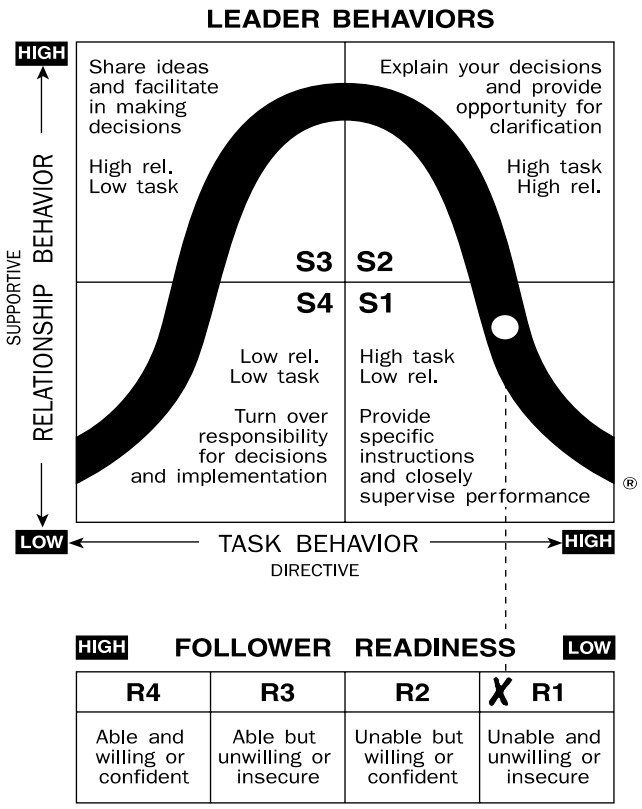
As one moves through the bell curve from right to left, task instructions are diminished as the employee increases in readiness to perform the particular task. Relationship behaviors are increased on the right side of the curve, in order to encourage achievement, then diminished on the left side of the curve, in order to indicate trust. (An employee who has a high amount of task ability may see high relationship behavior as patronizing or as "checking up" on him or her and may resent it.) However, this does not mean that the manager is "cold" or unavailable to the employee at an R3 or R4 level. It simply calls for an appropriate response to the employee's higher level of self-motivation.

CHOOSING THE APPROPRIATE LEADERSHIP STYLE

In order to select an appropriate leadership style for a particular situation, it is important to first assess the readiness level of the person who has been asked to undertake the task or responsibility. After the subordinate's readiness level has been determined, the leader must then draw a line from that point on the follower-readiness continuum straight up until it intersects the bell-shaped curve that runs through the four quadrants. The quadrant in which the line and the bell-shaped curve intersect indicates the proper leadership style for that situation. The figure on the next page illustrates an example of this process.

INFLUENCING SUBORDINATES' READINESS LEVELS

Managers can increase subordinates' readiness levels, encouraging them to become more self-motivated and responsible, through the behavior-modification technique known as *positive reinforcement.* Positive reinforcement is based on the theory that timely rewarding of desired behavior—or even an attempt at the desired behavior—is likely to encourage repetition of that behavior. Of course, behavioral change is not instantaneous, and managers must increase their supportive relationship behavior slowly to avoid appearing as "pushovers." To produce behavioral change, managers themselves must first alter their behavior slightly, then *reinforce* any positive responses elicited from subordinates by increasing their relationship behavior. If the manager progresses slowly and rewards adequately, the subordinate's behavioral change is likely to be permanent. As the subordinate's readiness levels increase, he or she will set internal standards of excellence; the manager will not need to continue to push the subordinate to measure up to external standards of performance. The subordinate will be rewarded by greater autonomy and trust.



Determining an Appropriate Leadership Style

Just as managers can adjust their behaviors to encourage autonomy and responsibility in their employees, managers also can move backward through the four quadrants of the Situational Leadership® model if employees suddenly require more direction. Personal difficulties, for example, might produce a downturn in an employee's performance. That employee might need more direction and more emotional support from his or her manager until the crisis has passed. Likewise, changes in one's job—such as a new job description or a promotion—will affect a person's level of readiness.

USES OF THE SITUATIONAL LEADERSHIP® MODEL

The Situational Leadership® model recognizes that leaders and managers must be flexible and adaptable to their subordinates' needs. Good leaders know their people well enough to be aware of and responsive to their needs and situations. Good leaders also know how to treat their employees as a group and how to treat each individual employee. A leader or manager who is familiar with both his or her employees and the theory of Situational Leadership® can affect gradual behavioral change that will make employees feel more empowered in their jobs and will benefit their organizations as well.

Reprinted from Paul Hersey and Kenneth H. Blanchard, *Situational Leadership® Model Handout.* San Diego, CA: Pfeiffer & Company, 1988. Used with permission of Leadership Studies, Inc., Escondido, CA

REFERENCES

Hersey, P., & Blanchard, K.H. (1982). *Management of organizational behavior: Utilizing human resources* (4th ed.). Englewood Cliffs, NJ: Prentice-Hall.

Hersey, P., & Blanchard, K.H. (1988). *Situational leadership: A summary.* San Diego, CA: University Associates.

SUPERLEADERSHIP

Management practices that once were effective now hamper organizations' ability to adapt to rapidly changing environments. Charles Manz and Henry Sims (1989) contend that many organizations are ineffective because they continue to manage according to traditional models of leadership—models based on formalized power, authority, and employee controls. Today's organizations need leaders who can capitalize on the self leadership capabilities of their subordinates. For Manz and Sims, *superleadership* (leading others to lead themselves) is required.

Superleadership is different from traditional views of leadership in that the focus is on the long-term potential for employee self-management. Superleadership assumes that:

- ***Employees are self-directed*** (control over the employee comes from within the employee);
- ***The effects of management and organizational control depend on the ways in which the controls are perceived, evaluated, and accepted by employees;*** and
- ***Effective leaders must influence the ways in which employees lead themselves.***

SELF-LEADERSHIP

Traditional models of leadership support the position that employees require external direction in order to be successful and productive. However, Manz and Sims suggest that people are *self-leading* (internally controlled). Therefore, leadership by others (external controls) should function to awaken people's internal *leadership energy* and motivation. Manz and Sims point out that *self-leadership is the engine that provides the energy for success.* The concept of self-leadership is based on three primary assumptions:

- ***Everyone practices some degree of self-leadership; however, not everyone is an effective self-leader;***
- ***Self-leadership is applicable to everyone who works in an organization—executives, managers, and non-managers;*** and
- ***Self-leadership can be learned.***

In the context of superleadership, self-leadership is a form of "responsible followership" in which employees accept responsibility for their performance and productivity. Self-leadership consists of two classes of self-imposed leadership strategies: *behavioral* (action) and *cognitive* (thinking and feeling).

Behavioral Strategies

Behavioral strategies are self-leadership action strategies taken in order to constructively direct one's performance toward excellence. These action strategies are:

1. ***Self-imposed goal setting*** in order to establish self-direction and priorities. Self-imposed goals are an important component of self-leadership; they focus on the task at hand, on professional development, and on personal growth. Goals must be challenging, attainable, and in a specific pattern in order to be effective and reachable.
2. ***Self-management of cues in the workplace*** in order to stimulate preferred behavior and to inhibit unwanted behavior. Manz and Sims cite examples such as limiting telephone interruptions and posting inspirational messages as ways to influence constructive work behavior.
3. ***Mental rehearsal*** of important tasks can improve job performance greatly. Manz and Sims cite role playing and mental rehearsal as examples of positive preperformance behavior.
4. ***Self-observation of consequences*** focuses on what happens once the task has been completed. Observation of what produces preferred or unwanted outcomes can help employees to determine what further actions are needed.
5. ***Self-administered rewards*** can be extraordinarily strong reinforcers for preferred behavior. Manz and Sims describe self-administered rewards as *physical and concrete* (such as an ice cream cone as a reward for completing a difficult task on time) or *private* (such as mental images of expected rewards or of an anticipated event). Self-administered rewards, both physical and mental, help to nourish internal motivation and to stimulate effort.
6. ***Self-administered punishments*** at times are useful to the self-leadership process. However, Manz and Sims believe that they usually are ineffective. Manz and Sims argue that most self-administered punishments actually are *cognitive* rather than *behavioral.* Furthermore, when administered on a regular basis, self-administered punishments tend to create guilt, depression, decreased self-esteem, and other dysfunctional internal conditions. Generally speaking, an emphasis on self administered rewards is healthier and more effective.

Cognitive Strategies

Cognitive self-leadership strategies focus on the naturally rewarding aspects of work. Cognitive strategies involve defining the job in such a way that the natural (intrinsic) incentives are emphasized. Manz and Sims describe three feelings that are natural reinforcers and that help to promote positive attitudes toward work:

- ***Competence*** (a feeling that one can do the job);
- ***Self-control*** (a feeling of at least some control over what happens on the job); and
- ***Purpose*** (a feeling that one's work is important and meaningful).

Effective self-leaders learn to increase natural incentives through the use of three cognitive strategies: *building natural rewards into the work; focusing their thoughts;* and *establishing constructive thought patterns.*

1. ***Building natural rewards into the work*** involves identifying the elements of tasks that are enjoyable and increasing these elements as much as possible. This can be as simple as choosing a pleasant meeting location or a preferred schedule to completely redesigning one's job description. The theory is that when choices regarding *how* to accomplish tasks are present, effective self-leaders choose the ways that are most enjoyable for them and, in doing so, significantly increase their feelings of competence, self-control, and purpose.
2. ***Focusing one's thoughts*** on inherent rewards of the work involves concentrating on immediate positive aspects or future rewards that will result from performing the job. Manz and Sims describe this thought focus as a "choose to smell the roses" approach that nourishes one's natural enjoyment and stimulates one's internal motivation.
3. ***Establishing constructive thought patterns*** has a clear impact on job performance. The challenge is to control one's normal thought patterns to increase both personal and professional satisfaction by managing one's beliefs and self-expectations; producing mental images of positive performance; and using positive self-talk to increase one's feelings of competence and confidence.

TEACHING SUPERLEADERSHIP

Collectively, the purpose of superleadership is to increase employees' self-leadership capabilities. However, employees seldom are naturally skilled self-leaders. Therefore, self-leadership behavior must be taught. The task of a superleader is to teach employees self-leadership and to provide them with the opportunity to practice self-leadership in the workplace. Superleaders can accomplish the above through the use of three techniques: *modeling, guided participation,* and *allowing self-leadership skills to develop.*

Modeling

Self-leadership is the essence of superleadership. Thus, superleaders first must become skilled at the behavioral and cognitive aspects of self-leadership. The first step in teaching employees and subordinates self-leadership skills is to act like a self-leader.

Superleaders who *model* self-leadership behaviors tend to stimulate those same behaviors in their subordinates.

Guided Participation

Superleaders also can stimulate self-leadership through the use of *guided participation.* This process uses questions intended to guide employees through the self-leadership process. For example, to teach goal-setting processes, superleaders may ask questions such as, "When would you like to have this job completed?" or "How many would you like to get done today?" Similarly, self-observation processes can be honed simply by asking the employee how he or she felt about an outcome. Guidance, rather than direct instruction, facilitates the employee's own intrinsic sense of competence, control, and purpose.

Allowing Self-leadership Skills to Develop

Finally, superleaders create self-leaders by reinforcing employees during the gradual evolution and development of their self-leadership capabilities. Superleaders recognize that self-leadership does not occur overnight. At the beginning, the desired task-related behaviors are rewarded and reinforced. As time goes on, reinforcement shifts toward an emphasis on *process* rather than on *task.* Manz and Sims note that during final stages, it is particularly important that social reinforcement be given when the self-leadership behavior occurs. "Reinforcement, encouragement, and other forms of support from the Superleader are critical in establishing incentives for initiative and an environment that encourages self-leadership" (Manz & Sims, 1989, p. 56).

REFERENCE

Manz, C.C., & Sims, H.P. (1989). *Superleadership.* New York: Berkley Books.

SYSTEM 4 MANAGEMENT

Classical organizational theory relies heavily on the principles of scientific management (Taylor, 1911) and on the structural elements of management that were developed by Fayol (1929). In classically organized enterprises, managers must fulfill the following duties:

- Divide the total organization into component parts (departments and tasks);
- Find a best way to accomplish each task;
- Hire people with suitable skills and aptitudes to accomplish each task;
- Train each employee in the specific, best way to accomplish his or her particular task;
- Provide supervision to ensure that employees perform their designated tasks according to the specified procedures and at the specified rates; and
- When possible, use "piece rates" as incentives for performance.

During the 1940s, the popular belief was that organizations must structure themselves along these classical lines if they were to be effective. However, through his research at the University of Michigan, Rensis Likert (1961, 1967) began to document that classical structuring *does not* produce effective organizations. Likert argued that increasing competition from other countries, increasing desires for individual freedom and less supervision in the work place, higher levels of education in the work force, greater interest in human potential, and the increasing complexity of technological advances were creating environments in which classical structures actually were dysfunctional. Likert believed that classically structured organizations, which he labeled *System 1*, are ineffective because they cannot easily recognize and adapt to changing conditions within their operating environments.

SYSTEM 4 MANAGEMENT

Likert (1961, 1967) believed that organizations are composed of *processes* and that the most important organizational processes are *leadership, motivation, communication, human interaction, decision making, goal setting, control,* and *performance.* Likert contended that when organizations are described in term of these processes, each process forms a continuum with classical organizational structure (System 1) at one extreme and human-resource-based structure (*System 4*) at the other. Classical organizational structure and System 4 organizational structure are described in the table at the end of this article.

System 4 management assumes that an organization will achieve maximum effectiveness only when its processes:

> . . . ensure a maximum probability that in all interactions and in all relationships within the organization, each member, in the light of his background, values, desires, and expectations, will view the experience as supportive and one which builds and maintains his sense of personal worth and importance. (Likert, 1961, p. 103)

Likert maintained that the structural design of System 4 management more easily adapts to changing environments because it taps the full available range of human potential within the organization. Likewise, the full range of human potential can be tapped only if:

- supportive relationships exist within the organization;
- group decisions and group methods are utilized; and
- high performance goals are maintained.

REFERENCES

Fayol, H. (1929). *General and industrial management.* (J.A. Conbrough, Trans.). London: Pitman.

Likert, R. (1961). *New patterns of management.* New York: McGraw-Hill.

Likert, R. (1967). *The human organization: Its management and value.* New York: McGraw-Hill.

Taylor, F.W. (1911). *Principles of scientific management.* New York: Harper & Row.

Classical Organizations	System 4 Organizations
Leadership	
Leadership processes do not instill or sustain trust and confidence between management and subordinates. Subordinates do not feel free to discuss job-related problems with management. Management, in turn, does not solicit or support subordinates' ideas and opinions.	Leadership processes instill and sustain trust and confidence between management and subordinates in all matters. Subordinates feel free to discuss job-related problems with management. Management, in turn, solicits and supports subordinates' ideas and opinions.
Motivation	
Motivational processes draw only on lower-level physical, security, and economic needs. Motivational strategies often utilize fear and threats. Unfavorable attitudes toward the organization and its goals prevail among employees.	Motivational processes draw on the full range of human needs and motives. Motivational strategies often utilize collaboration and participatory methods. Favorable attitudes toward the organization and its goals prevail among employees.
Communication	
Information flows downward from management. Information tends to be distorted and inaccurate and is viewed suspiciously by subordinates.	Information flows freely upward, downward, and laterally throughout the organization. Information tends to be accurate and undistorted.
Interaction	
Interaction processes are closed and restricted; subordinates have little effect on departmental goals, methods, and activities.	Interaction processes are open and extensive; both managers and subordinates can affect departmental goals, methods, and activities.
Decision Making	
Decision making occurs only at the top of the organization and is relatively centralized.	Decision making occurs at all levels of the organization and is relatively decentralized.
Goal Setting	
Goal-setting processes operate only at the top of the organization and in a manner that discourages participation.	Goal-setting processes operate throughout the organization and in a manner that encourages group participation in setting high yet realistic objectives.
Control	
Control processes are centralized and emphasize the placing of blame for mistakes.	Control processes are dispersed throughout the organization and emphasize self-control and problem solving.
Performance	
Performance goals are low and are passively sought by managers who make little—if any—commitment to developing the human resources within the organization	Performance goals are high and are actively sought by managers who are fully committed to the training and development of the organization's human resources.

Classical and System 4 Organizational Structures

Adapted from Rensis Likert, *The Human Organization: Its Management and Value.* New York: McGraw-Hill, 1967, pp. 197-211. Used with permission.

3-D MANAGEMENT-STYLE THEORY

William Reddin (1970) created a three-dimensional model of managerial styles. Such models are useful because leader behaviors usually influence important organizational outcomes such as performance, efficiency, customer satisfaction, and morale.

CLASSIFICATION OF MANAGERIAL-STYLE THEORIES AND MODELS

Behavioral scientists have formulated a great variety of managerial-style theories and models that can be organized into several categories. They can be classified according to the degree of freedom that leaders are thought to exercise in choosing their managerial styles. That is, the theories and models vary in the number of dimensions of possible managerial behavior that they contain. The figure below portrays zero-, one- and two-dimensional models of managerial style.

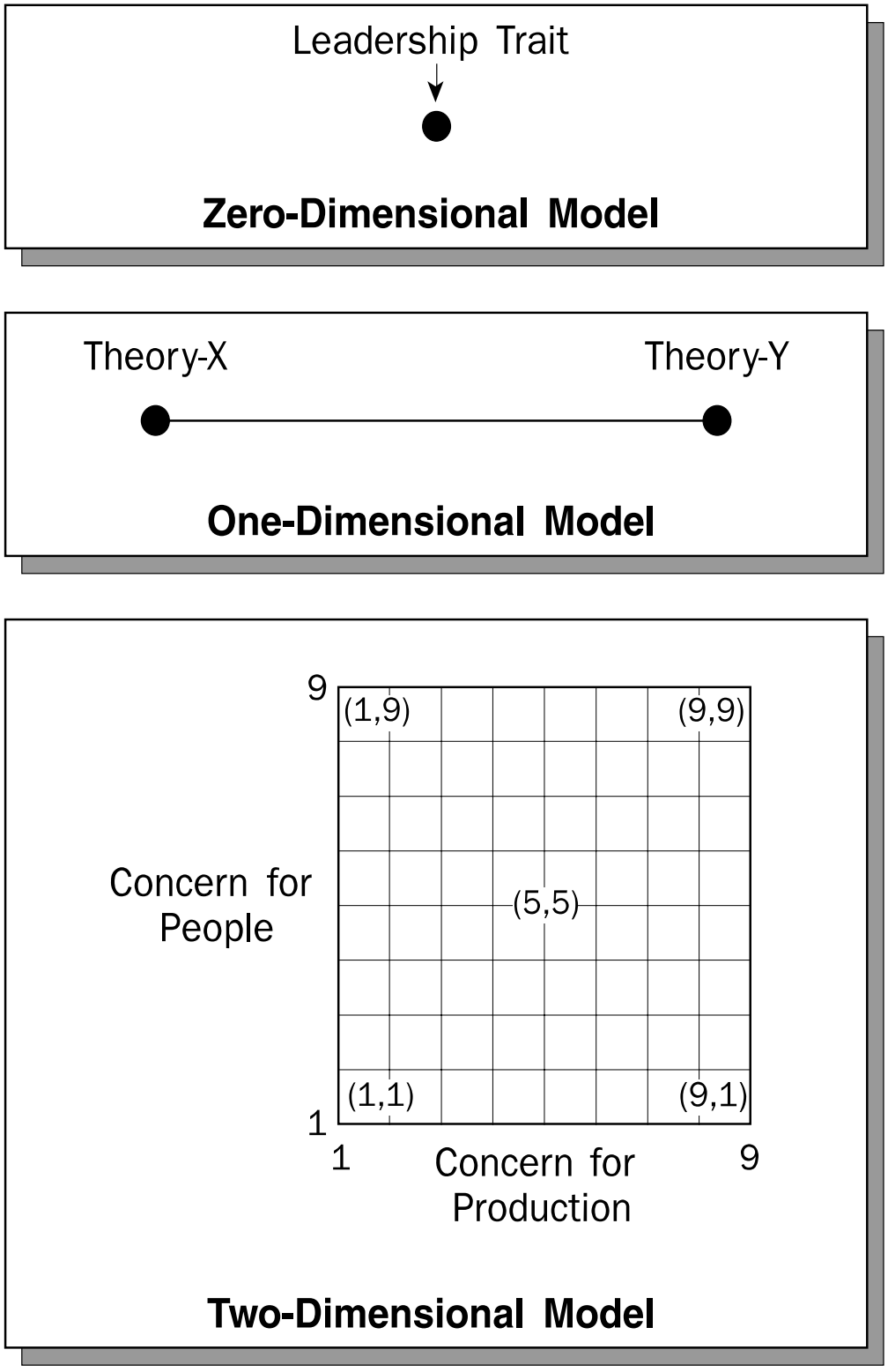
The Zero-Dimensional View

Hegel (1953) believed in the existence of "world-historical individuals"—born leaders such as Alexander the Great and Napoleon Bonaparte—who influence events and shape history by virtue of their innate leadership traits. The *trait approach* led to largely unsuccessful efforts to use intelligence tests (Ghiselli, 1963) and personality inventories such as the Strong Vocational Interest Blank (Nash, 1963) and the Thematic Apperception Test (McClelland & Boyatizis, 1982) to select effective leaders. Industrial psychologists even attempted unsuccessfully to determine the *physical characteristics* of effective leaders (Stogdill, 1974). The goal of the trait theories was to identify a trait or traits (equanimity, gregariousness, reserve, aggressiveness, and so on) common to effective leaders. According to trait theorists, organizations should focus on recruiting potential leaders who possess the requisite traits.

These early theories about managerial style are called *zero-dimensional* because they equate leadership ability with certain personality traits. Accordingly, the top panel of the figure depicts management style as a zero-dimensional, fixed point in space that personifies the successful leader. Trait theorists disagreed on the characteristics that comprise successful leaders. Therefore, the fixed point could appear at different coordinates (locations) in space, but each point could be placed only in one location.

The One-dimensional View

When Douglas McGregor (1960) classified managers as either *Theory-X* or *Theory-Y,* he was placing leadership styles on opposite ends of a continuum. Hence, McGregor's theory of managerial styles is a *one-dimensional view,* which is depicted by the middle panel of the previous illustration.

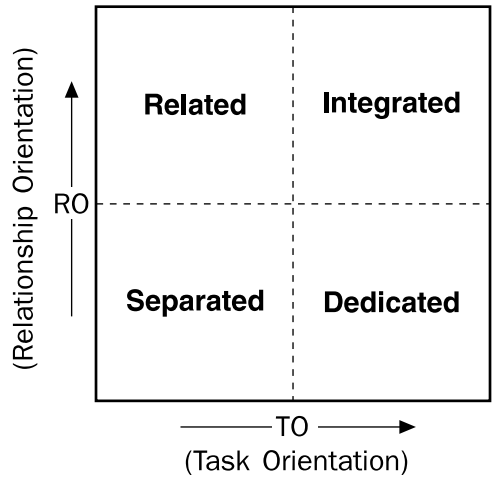


Zero-, One-, and Two-Dimensional Models of Leader Behavior

The Two-Dimensional View

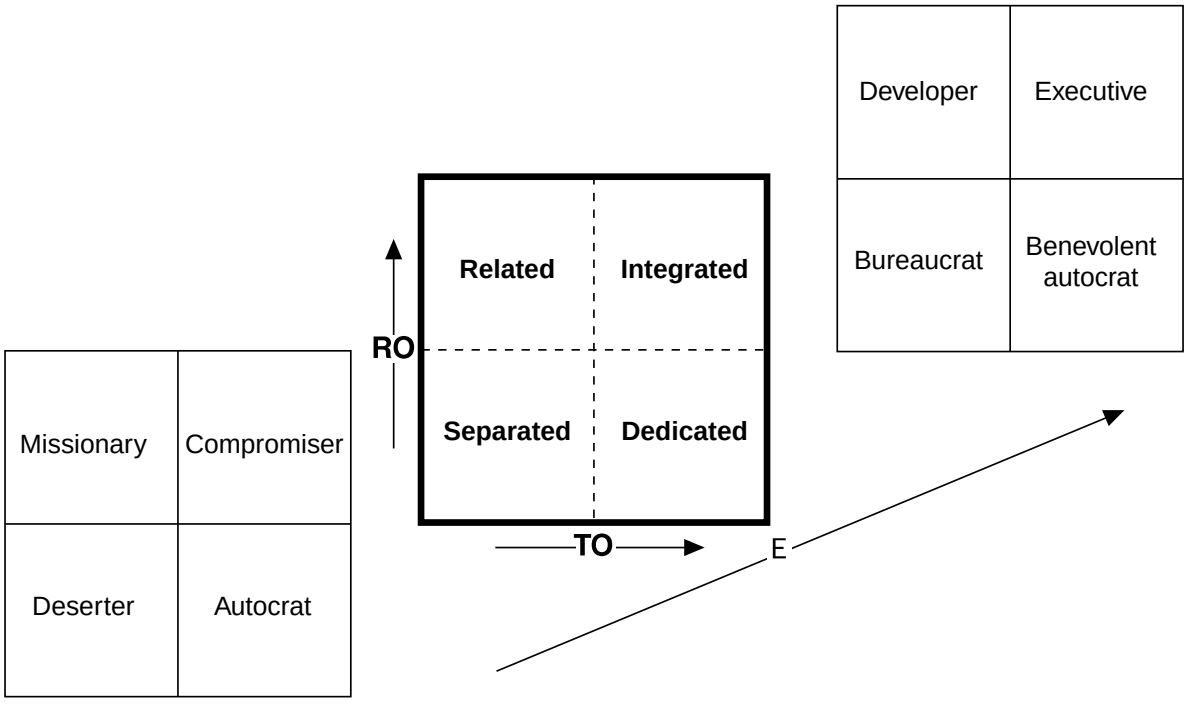
Some organizational psychologists question the premise that there are so few leadership-style options that a zero- or a one-dimensional model adequately can represent the complexities of leadership. Robert Blake and Jane S. Mouton (1969) postulate that a manager's style can be described using two dimensions: *concern for people* and *concern for productivity*. The two dimensions are independent and therefore are represented in the bottom panel of the figure as two perpendicular axes that create four quadrants of a grid. According to Blake and Mouton's two-dimensional model, a manager can have varying levels of "production concern" and "people concern." These levels are represented by points on the grid with coordinates such as (1,1), (5,5), (9,1), and so on. Blake and Mouton claim that managers ought to strive for a (9,9) rating, which stands for simultaneous maximal concern for both people and productivity.

Reddin (1970) notes that two-dimensional views have been incorporated into the management-style theories of Zaleznik & Moment (1964), Brown (1954), Jennings (1962), and Davis (1968). Reddin observes that most two-dimensional theories use some form of *relationship orientation (RO)* and *task orientation (TO)* as the coordinates of their managerial styles. Relationship orientation is the extent of the manager's concern for the feelings and welfare of fellow organization members, while task orientation is the extent of the manager's concern about accomplishing organizational missions and goals. If each dimension is split at its midpoint, the grid is divided into four quadrants. Each quadrant represents a different style orientation; Reddin (1970) gives each a value-neutral name, as shown in the figure.



Reddin's Generalization of Two-Dimensional Management-Style Models

Reprinted from W.J. Reddin, *Managerial Effectiveness.* New York: McGraw-Hill, 1970. Used with permission



Reddin's 3-D Model of Managerial Styles

REDDIN'S THREE-DIMENSIONAL MODEL: ADDING THE EFFECTIVENESS DIMENSION

Reddin chose value-neutral names for the four styles in his model because he believes that no one style is inherently superior. Consistent with contingency-management theory (Fiedler, 1966) and Situational Leadership® theory (Hersey & Blanchard, 1988), Reddin rejects the notion that there is an ideal managerial style. He believes that the particular situation will determine whether a managerial style is likely to be effective or ineffective. Thus, he made *effectiveness* the third dimension of his model of managerial styles. The figure below, which includes all three dimensions of Reddin's model, depicts *eight* basic style preferences: an *ineffective* (inappropriately used) and an *effective* (appropriately used) version of each of the four value-neutral styles.

Reddin's Eight Styles of Management

The following table summarizes Reddin's eight managerial-style options.

Reprinted from W.J. Reddin, *Managerial Effectiveness.* New York: McGraw-Hill, 1970, p. 41. Used with permission.

Used Inappropriately (Less Effectively)	BASIC STYLE	Used Appropriately (More Effectively)
Compromiser: An indecisive leader who tries to maximize both the task and the relationship in a situation in which one or both should be ignored.	**INTEGRATED** *TO:* High *RO:* High	*Executive:* An ambitious goals setter who treats subordinates as individuals and likes to manage group synergy.
Deserter: A manager who is uncommitted and inactive when the situation calls for attention to both personal relationships and organizational goals.	**SEPARATED** *TO:* Low *RO:* Low	*Bureaucrat:* A conscientious adherent to rules, bureaucrats are most effective in situations in which it is more appropriate to maintain structure than to attend either to relationships or to tasks.
Autocrat: A disliked micromanager who distrusts others and appears only to care about momentary pressures and concerns.	**DEDICATED** *TO:* High *RO:* Low	*Benevolent Autocrat:* A purposeful leader who knows how to get tasks accomplished and can do so without creating resentment.
Missionary: An appeaser who puts peace and good feelings ahead of all else, including the accomplishment of tasks.	**RELATED** *TO:* Low *RO:* High	*Developer:* A nurturing leader who is confident in others' abilities and primarily is interested in growth and development.

Reddin's Eight Styles of Management

The Five Situational Determinants

Assuming that the nature of the situation determines whether a given style will be effective, it is useful to analyze the variables that structure situations. Reddin asserts that style appropriateness is determined by the following *situational determinants:*

1. ***Technology:*** Includes the methods, equipment, and systems used to accomplish the organization's mission.
2. ***Subordinates:*** The people who report to the manager, each with unique backgrounds, personalities, needs, proclivities, and intergroup relations.
3. ***Coworkers:*** Working relationships and task interdependencies of the manager's peers.
4. ***Supervisor:*** The managerial style used by the manager's own supervisor.
5. ***Organization:*** The organizational climate, norms of behavior, routines, procedures, and structure.

STYLE HOPPING

Adapting one's managerial style to the situation or adopting different styles with different subordinates might at first seem insincere or at least inconsistent. However, the ability to "wear different hats" is desirable in some situations.

When used appropriately, managerial-style adaptability is known as *style flexibility* or *style flex.* Possession of a broad range of styles and the ability to move from one style to another is appropriate when versatility is essential to success. For example, commercial-airline pilots probably need different styles in order to deal with different flight crews, ground crews, air-traffic controllers, and passengers.

However, Reddin disagrees with the conventional notion that it always is better for a manager to have a high level of style flexibility. Under certain circumstances, it is more advantageous for a manager to hold fast to a particular style. Reddin terms the appropriate application of a narrow range of behavior *style resilience.* An example of a situation requiring style resilience would be in a well-established organization whose continued success requires "continuity, . . . predictability, and reliability" (Reddin, 1970, p. 54).

Reddin calls the inappropriate changing of styles *style drift.* Doing so might avoid conflict but could be inappropriate, giving others the impression that the manager is wishy-washy, capricious, or too ready to change for others. Also inappropriate, *style rigidity* occurs when a manager remains inflexible in situations that demand flexibility. Reddin's scale of flexibility variables is depicted in the figure on the following page.

REFERENCES

Blake, R.R., & Mouton, J.S. (1969). *Building a dynamic corporation through grid organization development.* Reading, MA: Addison-Wesley.

Brown, J.A.C. (1954). *The social psychology of industry.* Baltimore, MD: Penguin Books.

Davis, K. (1968, March). Evolving models of organizational change. *Academy of Management Journal,* pp. 27-28.

Fiedler, F.E. (1966). *A theory of leadership effectiveness.* New York: McGraw-Hill.

Ghiselli, E.E. (1966). *The validity of occupational aptitude tests.* New York: John Wiley.

Jennings, E.E. (1962). *The executive.* New York: Harper & Row.

Hegel, G.W.F. (1953). *Reason in history: A general introduction to the philosophy of history* (R. Hartman, Trans.). Indianapolis, IN: Bobs-Merrill.

Hersey, P., & Blanchard, K.H. (1988). *Management of organizational behavior: Utilizing human resources* (5th ed.). Englewood Cliffs, NJ: Prentice-Hall.

McClelland, D.C., & Boyatizis, R. (1982). Leadership motive pattern and long-term success in management. *Journal of Applied Psychology, 67,* 737-743.

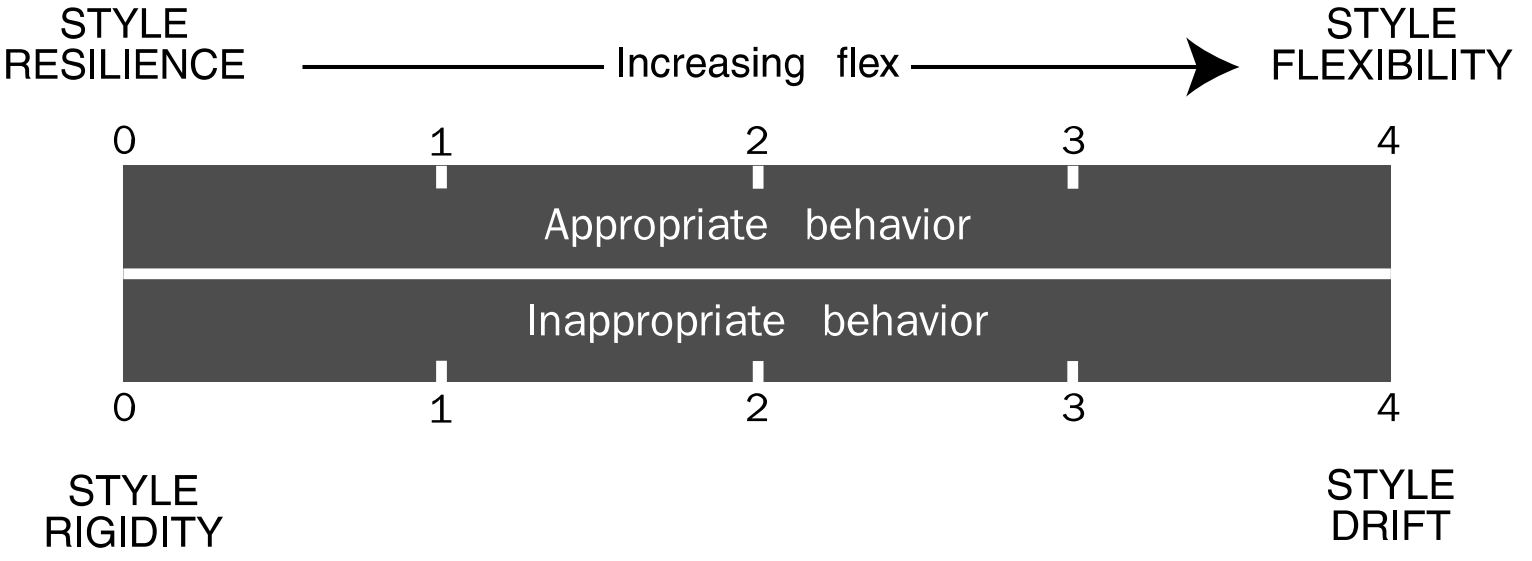
McGregor, D. (1960). *The human side of enterprise.* New York: McGraw-Hill.

Nash, A.N. (1963). *Development and evaluation of the Strong vocational interest blank for differentiating between potentially effective and less effective business managers.* Unpublished doctoral dissertation, University of Minnesota, Minneapolis.

Reddin, W.J. (1970). *Managerial effectiveness.* New York: McGraw-Hill.

Stogdill, R.M. (1974). *Handbook of leadership: A survey of theory and research.* New York: Free Press.

Zaleznik, A., & Moment, D. (1964). *The dynamics of interpersonal behavior.* New York: John Wiley.



Reddin's Model of Style Flexibility

Reprinted from W.J. Reddin, *Managerial Effectiveness.* New York: McGraw-Hill, 1970. p. 54. Used with permission.

TOTAL QUALITY MANAGEMENT

A reality of contemporary organizational life is the increasing pressure for organizations to improve the quality of their products and services (outputs) because of increased competition and increased customer demand for better products and services. Organizational environments have become increasingly dynamic, and resources have become increasingly scarce. As a consequence, the cost of organizational output has risen. In response, organizations must focus attention on becoming more competitive, that is, on increasing productivity, decreasing costs, and improving the quality of outputs. One universally accepted method to improve product and service quality, increase productivity, and decrease costs is through the implementation of *total quality management (TQM).*

BASIC PRINCIPLES

TQM is intended as a tool to help organizations increase productivity, decrease costs, and improve the quality of outputs so that they are more valued by customers. Value is increased by producing high-quality, reliable outputs that are useful to customers. The goal of TQM is total quality instead of partial quality. TQM essentially is a *team-oriented, continual, process improvement that emphasizes total customer satisfaction* (Kinlaw, 1991). Thus, TQM is a strategic approach to producing the best products and services possible, through teamwork and continual innovation (Atkinson, 1990).

TQM is not a short-term process, it is an *organization-wide commitment* to doing the job correctly the first time. TQM is driven by top management, and management responsibility does not end with implementation. Instead, TQM is a lead-by-example approach with ongoing management ownership and commitment. Additionally, TQM relies on the ownership and commitment of everyone who is associated with the organization, e.g., customers, vendors, and employees. TQM implementation requires cultural as well as behavioral and attitudinal adjustments that fundamentally focus in four areas: customers and suppliers, continual process improvement, work teams, and measurement.

Customers and Suppliers

Quality in business is the attribute of a product or service to which customers attach value. The purpose of TQM is to produce the best-quality output and to do it right the first time (Jablonski, 1991). However, TQM expands the definition of "quality" to include *all customers within the scope of the product.* With this expanded definition, a customer is anyone who depends on the output of others to complete his or her work at an agreed-on level (Atkinson, 1990). Suppliers are those whose output provides the

input to customers (e.g., raw materials, semi-finished goods, information, etc.). This means that each person within the process, whether external or internal to the organization, is a customer as well as a supplier. As such, each person at each stage is responsible for both receiving and delivering high-quality output. The receiving and delivering of high-quality output continues until it reaches the end user.

The result is an interdependent relationship between customers and suppliers. This is especially true within the organization because any breakdown between internal suppliers and customers adversely affects the overall quality of every other output down the line. Similarly, the breakdown between external suppliers and the organization adversely affects overall organizational output. The supplier-customer relationship exists for manufacturing, service, and all other types of organizational contexts. The ultimate goal of all suppliers is perfection and perfectly satisfied customers.

Continual Process Improvement

Organizations produce products and services through processes. Processes are a series of operations, linked together in a manner that incrementally increases the value of organizational output. That is, output becomes more useful to customers on completion of each operation. Operations fit together like links in a chain; a flaw in any one link weakens the chain.

The objective of continual process improvement is error-free output and utilization of resources—human, financial, and material—at each stage of the process. The performance standard is "do right the first time"; it pertains to producing and delivering, at each stage, outputs that are known to meet customer requirements. This approach requires all suppliers deliver error-free products and services to their customers. It assumes that each person doing a job knows best how the job should be done and how the process can be improved in order to function more efficiently. Thus, continual process improvement is preventative as well as corrective. Workers, along with management, continually identify and correct weak points in the system so that the process may be improved. As a preventive mechanism, continual process improvement attempts to avoid reactive, "crisis management" styles of operation and to move toward proactive, problem-solving approaches in which creativity and team involvement are central considerations.

Team Driven

The concepts of *teams and employee involvement* are central to TQM philosophy. TQM principles are built on humanistic values that regard high-quality processes and outputs to be direct results of collaborative interactions between suppliers, customers, employees, and management.

TQM recognizes that employees who participate directly in the everyday business of producing outcomes are closest to and are most likely to have knowledge of the process. Therefore, the most valuable information regarding an organizational process lies with the people who perform the process. TQM actively solicits employee

involvement on an inter and intradepartmental level. Thus, a cross section of suppliers-customers working together with the common purpose of attaining total quality is a prerequisite for achieving total quality.

Yet, simply placing a variety of suppliers-customers together to work as a team is not sufficient for successful TQM. Top management must set the example and model the behavior expected from those at lower levels of the organization. Management cannot assume that all changes will come from below. The total organization, from executives to rank-and-file employees, must totally believe in and support the values of TQM. Top management communicates its support by:

- empowering employees to do it right the first time;
- providing all necessary resources;
- structuring the reward system to reinforce total quality; and
- committing to the lifelong support of total quality values.

Total quality is cultural, its values becoming part of the underlying assumptions and beliefs of the organization. Those who do not support the collaborative relationships and team functioning of TQM, those who actively restrict participation and do not commit to TQM values, *will be unable to achieve total quality.* Such a heavy emphasis on employee collaboration and team participation led Jablonski (1991) to define total quality management as

> a cooperative form of doing business that relies on the talents and capabilities of both labor and management to continually improve quality and productivity using teams.

Measurement

Within all organizations, the quality of products and services *always will be subject to some degree of random variation.* A portion of the variation is stable and results from a *system of chance causes* within the environment. However, causes of variation outside the realm of chance can be removed once they have been uncovered. This is true for manufacturing, service, and all other types of organizations. TQM relies heavily on measurement to control variation within organizational processes. The method most frequently referenced is statistical process control (SPC). The long-term contribution of measurement depends on developing *measurement-minded* employees who use information provided by statistical and other measures to separate the random causes of variation from the specialized causes so that both can be worked with, corrected, and controlled.

IMPLEMENTATION

The prominent question regarding total quality is how to implement the process within the organization. The process is the same for each organization; however, the

implementation will be experienced differently for each organization because of the differences in the cultural orientation.

W. Edwards Deming (1986), who is considered by many to be the developer of total quality management, has suggested five necessary ingredients for successful TQM implementation.

1. The total commitment of the person holding the highest executive position within the organization.
2. A group of high and lower-level leaders who genuinely accept and understand total quality processes must emerge from within the organization. Deming recommends that the total number of such leaders should equal roughly the square root of the total number of organizational members.
3. A statistically experienced TQM advocate who reports directly to executive management is critical for assisting organizational managers in implementing training and TQM processes.
4. Education and training is required with suppliers and all persons, from top to bottom, within the organization.
5. Improvements must be started immediately. Deming suggests that where the process starts is not as important as the process starting. In other words, *just do it.*

Implementing TQM is necessarily incremental; however, there must be an overall path of sequential activities to follow. Implementation does not happen overnight; there will be times when implementation stumbles or when the plan becomes unrealistic because of significant cultural changes within the organization. Yet, in spite of the difficulties, Atkinson (1990) advises that one learn from one's mistakes and that if "things are better today than they were yesterday, all is going according to plan."

REFERENCES

Atkinson, P.E. (1990). *Creating cultural change: The key to successful total quality management.* Bedford, UK: IFS Ltd.

Deming, W.E. (1986). *Out of the crisis.* Cambridge, MA: Massachusetts Institute of Technology, Center for Advanced Engineering Study.

Jablonski, J.R. (1991). *Implementing total quality management.* San Diego, CA: Pfeiffer & Company.

Kinlaw, D.C. (1991, January). Telephone conversation.

TRANSFORMING LEADERSHIP

Historian and political scientist James MacGregor Burns (1978) believes that leadership is one of the most studied and least understood elements of human interaction. Burns maintains that although over 130 definitions of leadership exist, considerably more is known about *leaders* than about *leadership.* As yet, society has not been able to grasp the essence of leadership and, as a result, is experiencing a serious "crisis of leadership" brought about by mediocre and irresponsible leaders.

A DEFINITION OF LEADERSHIP

Leadership is a universal human activity in which leaders influence followers to act in order to attain goals that represent the motives, needs, wants, hopes, and expectations of *both* leaders and followers. Leaders appeal to the goals, motives, and values of followers in order to influence them to act in desired ways. As followers respond, a mutually beneficial relationship develops, bringing leaders and followers together in "social and political collectivity." Burns points out that without followers, there cannot be leaders; the roles of leaders and followers are connected by the collective pursuit of common goals. The leader's role is to create linkages between people that allow communication and exchanges to take place.

TYPES OF LEADERSHIP

Burns reasoned that if leaders and followers are linked by collective purposes, and if the goal is mutual satisfaction of needs, leadership can be explained by an analysis of leader-follower relationships and interactions. Burns labels the relationships and interactions that develop between leaders and followers either *transactional* or *transformational.*

Transactional Leadership

Transactional leadership is based on the principle of *exchange.* Transactional leaders recognize potential followers' needs and initiate contact in hopes of exchanging one need for another. A political example would be the exchange of votes for jobs. In transactional relationships, leaders and followers exchange satisfactions in a politicized environment, each seeking to maximize his or her tangible and psychological benefits. The transactional relationship is limited in scope to items that easily can be identified, calculated, and measured. Transactional leaders often become obsessed with power, and the pursuit of power eventually becomes more important than morality. In the transactional model, leadership is an expressed form of power that asserts *that authority is the property of leaders.* The major disadvantages of transactional leadership are as follows:

- Leader-follower relations usually are short term, largely because leaders and followers cannot continue the same exchange indefinitely;
- Transactions focus on the gratification of needs and can be highly manipulative, exploitative, and impersonal; and
- Followers tend toward conformity.

Most leader-follower interactions are of the transactional type (Bass, 1981). Transactional leaders often are described as bargainers, bureaucrats, legislative leaders, and executive leaders.

Transformational Leadership

Transformational leadership is based on the principle of *mutual stimulation and elevation.* Transformational leaders recognize potential followers' needs but transcend exchanges and inspire their followers to *higher-order satisfaction of needs* such as those related to self-actualization, esteem, and belonging (Maslow, 1970). Transformational relationships elevate followers into leaders and leaders into *moral agents.* A moral agent (the most evolved and sophisticated role for a leader) facilitates social change and maintains relationships that distribute power and fulfill higher-order needs. The transactional-leadership model focuses on the *means* of goal attainment; the transformational-leadership model focuses on *ends* and ensures that followers have adequate information and the capacity to choose among alternatives. Transactional leaders are evaluated by what easily can be identified and measured; transformational leaders are evaluated by (a) their impact on the human condition, (b) equality and justice, and (c) the extent to which they facilitate or inhibit standards of good conduct. Transformational leaders often are described as movers and shakers, visionaries, intellectual leaders, leaders of reform, innovators, and heroes (Bass, 1981). The illustration that follows depicts the differences between a transactional leader and a transformational leader.

IMPLICATIONS OF TRANSACTIONAL AND TRANSFORMATIONAL LEADERSHIP FOR ORGANIZATIONS

At first, Burns's (1978) historical-political perspective may be perceived as overly conceptual and of little relevance to contemporary organizations. However, the macro analysis that Burns introduced highlights two major categories of leadership behavior that have significant implications for the real-world emphasis of modern organizations: *leadership by exchange* (transactional) and *leadership by mutual stimulation and elevation* (transformational). If one substitutes the term "organization" for the term "leader" and the term "employee" for the term "follower" in Burns's transactional-transformational conceptualization, the implications for contemporary organizations begin to emerge.

The Transactional Leader

The Transformational Leader

In the extreme, transactional organizations operate according to the principle of exchange. That is, organizations and employees exchange gratifications in order to satisfy their lower-order needs such as survival, safety, and security. (In exchange for work that helps organizations to survive and to remain safe and secure, organizations provide employees with money that will help them to survive and to remain safe and secure.) In an exchange-based system, the organizational climate tends to become highly politicized and dominated by exploitative and manipulative leaders who are absorbed in selfish interests. Power tends to be centralized, thus creating an environment characterized by caution, conformity, dependency, and a sense of powerlessness among employees. A *maintenance mentality* (Block, 1986) soon develops, and committed organization-employee relationships probably are short-lived because of an inability to accommodate changing needs.

In contrast, transformational organizations operate according to the principles of mutual inspiration and elevation. Transformational relationships recognize the mutual need for lower-order need satisfaction but also encourage the development of higher-level functioning. Gratification of needs is not based on selfish interests but on a *shared vision* of organizational and individual satisfaction. Employees feel powerful and free to participate in organizational leadership, thus creating an environment characterized by interdependence, innovation, and entrepreneurial spirit.

REFERENCES

Bass, B.M. (1981). *Stogdill's handbook of leadership.* New York: The Free Press.

Block, P. (1987). *The empowered manager*. San Francisco: Jossey-Bass.

Burns, J.M. (1978). *Leadership*. New York: Harper & Row.

Maslow, A.H. (1970). *Motivation and personality* (2nd ed.). New York: Harper & Row.

TYPES OF MANAGERIAL SKILLS

The Random House College Dictionary defines *managing* as simply "success in accomplishing." Many hours have been invested in trying to accurately describe what managers do while managing. In general, four functions—*planning*, *organizing*, *directing*, and *controlling*—compose the major part of managerial responsibility.

- ***Planning*** refers to determining the direction of organizations, departments, and people by establishing goals and objectives, as well as developing and implementing the strategies necessary to attain the stated goals and objectives.
- ***Organizing*** refers to determining precisely what activities and resources are necessary to implement the planned strategies, as well as making decisions about how work authority, work responsibility, and work assignments should be distributed.
- ***Directing*** refers to communicating to others just what their responsibilities are in attaining organizational and departmental goals, as well as providing an environment that will stimulate employee motivation and commitment.
- ***Controlling*** refers to guiding, monitoring, and modifying work activities in order to ensure that organizational and departmental performance corresponds with performance expectations and the overall needs of the organization.

All managers spend a portion of their time performing each of the managerial functions. However, as Paul Hersey (1983) has pointed out, the *skills* required to perform each function vary according to a manager's level in the organizational hierarchy.

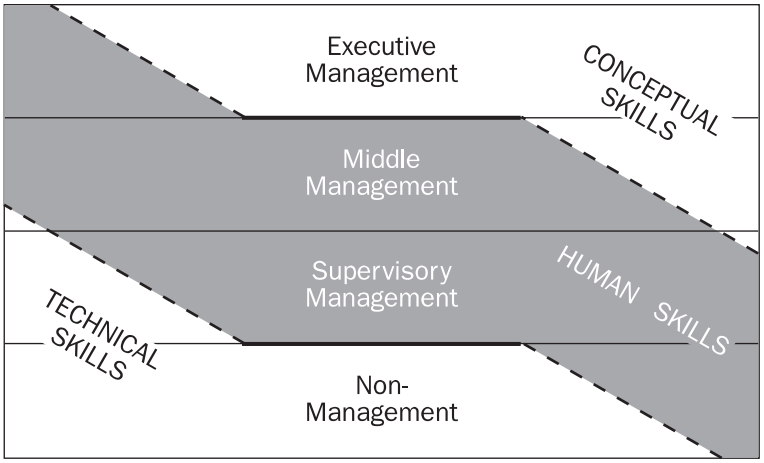
MANAGERIAL SKILLS

Managerial effectiveness requires *conceptual skills*. That is, an ability to view the organization in terms of the "big picture"—i.e., a total system composed of interrelated and interdependent units. As a minimum, managers need to understand how their work fits with the work of others in producing planned organizational outcomes.

Managerial effectiveness additionally requires *human-relations skills*, the ability to interact effectively with others both outside and within the organization. Research clearly indicates that managers spend a great number of their working hours interacting with others and that the degree of managerial skill in interacting with others significantly influences managerial ability to achieve objectives.

Last, managerial effectiveness requires *technical skills*, that is, competence to perform particular tasks. Technical proficiency is the hands-on, nuts-and-bolts of producing tangible outcomes.

As shown in the figure, all members within a managerial hierarchy use some conceptual, some human-relations, and some technical skills. However, the proportion of skills required varies, depending on one's level of responsibility within the organization.



Management Skills[*]

Organizations essentially consist of four hierarchical levels:

- nonmanagement,
- supervisory management,
- middle management, and
- executive management.

Nonmanagement

Nonmanagers perform hands-on work within the organization; they are highly task focused and usually are not directly concerned with planning, organizing, directing, and controlling the work of others. For example, in manufacturing settings, production workers are responsible for physically assembling and performing the tasks necessary to produce a product. In that capacity, nonmanagers work with others but do not direct their actions; possess an elementary picture of how their work affects the next step of production; and work within time frames measured in hours or days.

As doers of the work, nonmanagers must be technically competent in order to accomplish their assigned tasks. Human-relations skills are necessary but only at levels required to maintain social networks and acquire task-related resources. The need for

[*] Copyright © 1980, Leadership Studies Productions, Inc. Reprinted with permission.

conceptual skills is minimal, as the nature of doing does not ordinarily require a conceptual vision beyond the task at hand.

Supervisory Management

Supervisory management—supervisors, foremen, project managers, line managers, and the like—are the first step in the managerial hierarchy directly responsible for the work of others. Line managers are one step removed from actually performing hands-on tasks and are directly involved with: establishing objectives for their work units (planning); assigning work to others, determining what resources are needed, and providing a favorable work environment for their subordinates (organizing); communicating organizational and departmental expectations to others (directing); and ensuring that individual and departmental performance meets organizational expectations.

As managers of those who do the work directly, line managers must be technically proficient, yet are not required to have the same level of hands-on technical proficiency as those who perform the job tasks. However, as the figure indicates, the decreasing need for technical proficiency is balanced by an increasing need to communicate with and motivate others to do their jobs well. Conceptually, line management requires an ability to look beyond task completion and to predict what will be happening once the task has been completed. Thus, while the need for technical proficiency decreases, the need for human-relations and conceptual skills are increased. In part, this is because of larger time frames and increased interaction with others.

Middle Management

The next step up in the managerial hierarchy is middle management. Middle managers are the managers of line managers; they are responsible for the work of those who, in turn, are responsible for the work of others. Mid-management is two steps removed from those who actually perform hands-on-work. Middle managers increasingly are called on to conceptualize and *predict future departmental direction.* They have less need for technical skills, because technical supervision is a function of first-line supervision. As is shown in the figure, the degree of skill related to communicating with and motivating others remains reasonably equivalent to that needed in first-line supervision, but the population that is communicated with and motivated changes.

Executive Management

Executive management is the highest level in the managerial hierarchy. Executive management is directly responsible for overall organizational direction and effectiveness. Executive managers establish the organizational vision and subsequently guide the organization in a manner that makes the vision a reality. This visionary perspective implies that very high levels of conceptual skill are needed at top-management levels. Yet, as top-level managers spend larger proportions of their time in conceptual pursuits, the time available to interact with others decreases, and the need for

human-relations skills decreases proportionally. Similarly, top-level management is very far removed from everyday job tasks and does not need technical proficiency beyond knowing what tasks are taking place.

IMPLICATIONS FOR MANAGERIAL TRAINING AND DEVELOPMENT

The goal of management training and development is to help managers to understand and perform their jobs better. Organizations expect that managers will become more effective and efficient because of their training. Improved managerial performance then filters down through the organization, and organizational performance improves. Thus, organizations expect to be reimbursed for training costs through improved organizational performance and increased productivity.

The figure that follows illustrates the managerial skills that are required at different levels within the managerial hierarchy. In brief: supervisory managers need more technical competence; middle managers need more human-relations skills; and top-level managers need more conceptual skills.

The obvious conclusion in regard to management training and development is that a different training focus is required at each of the different managerial levels. A first implication of this relates to training that is intended to help managers perform in their *current* positions. First-line supervisors need a lot of technical competence and a lot of human-resource skills. Middle managers need fewer technical skills (which they presumably already have as a result of having been line managers), increased human-relations skills, and some conceptual skills. Top managers need very few technical skills, a lot of human-relations skills, and a lot of conceptual skills. The figure indicates how skills training that is intended to enhance current performance should be structured at different managerial levels.

	Top Management	Middle Management	Supervisory Management
Conceptual	High	Low-Medium	Low
Human	High	High	High
Technical	Low	Low-Medium	High

Skill Training at Different Managerial Levels

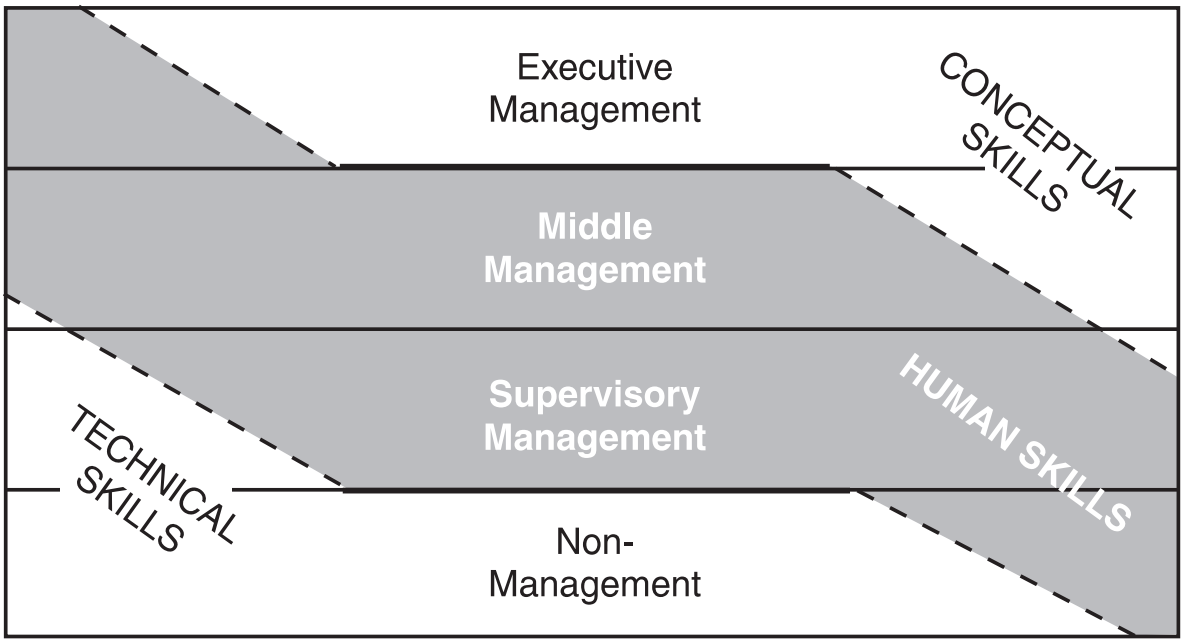
The second implication relates to training that is intended to prepare managers to perform at *higher* hierarchical levels. This type of *developmental* training emphasizes the acquisition of skills that will be required in the future. Thus, developmental training targeted at helping a technically oriented line manager to prepare for promotion to mid-level management would place the most emphasis on human-relations skills, the next highest on conceptual skills, and the least emphasis on technical skills. Middle management needs about the same amount of human-resource skills but less technical

knowledge and greater development of conceptual skills. Senior management needs few technical skills but a great deal of conceptual skills. Thus, preparing mid-managers for executive appointment requires specialized attention to forecasting, creating organizational visions, and other conceptual skills. According to Pfeiffer, Goodstein, and Nolan (1989), management-development training traditionally has focused on improving human-resource skills, while the need has been for improving conceptual skills.

REFERENCES

Hersey, P. (1983). *An intensive experience in the process of change: Situational leadership*. Escondido, CA: Leadership Productions, Inc.

Pfeiffer, J.W., Goodstein, L.D., & Nolan, T.M. (1989). *Shaping strategic planning: Frogs, dragons, bees, and turkey tails.* San Diego, CA: Pfeiffer & Company/Glenview, IL: Scott, Foresman.



Management Skills

A MODEL OF TEAM BUILDING

In this age of rapidly changing technology, market-driven decision making, customer sophistication, and employee restlessness, leaders and managers are faced with new challenges. Organizations must build new structures and master new skills in order to compete and survive.

As work settings become more complex and involve increased numbers of interpersonal interactions, individual effort has less impact. In order to increase efficiency and effectiveness, a group effort is required. The creation of teams has become a key strategy in many organizations. Team building is an essential element in supporting and improving the effectiveness of small groups and task forces and must be a key part of a total program of organizational change.

Hellriegel, Slocum, & Woodman (1986) state that team building is used to improve the effectiveness of work groups by focusing on any of the following four purposes: setting goals and priorities, deciding on means and methods, examining the way in which the group works, and exploring the quality of working relationships. A cycle then develops; it begins with the awareness or perception of a problem and is followed sequentially by data collection, data sharing, diagnosis, action planning, action implementation, and behavioral evaluation. This cycle is repeated as new problems are identified.

ELEMENTS OF TEAMS

Not all work groups are teams. Reilly and Jones (1974) list four essential elements of teams: goals, interdependence, commitment, and accountability. The members must have *mutual goals or a reason* to work together; there must be an *interdependent* working relationship; individuals must be *committed* to the group effort; and the group must be *accountable* to a higher level within the organization. A good example is an athletic team, whose members share goals and an overall purpose. Individual players have specific assignments they are responsible for, but each depends on the other team members to complete their assignments. Lack of commitment to team effort reduces overall effectiveness. Finally, the team usually operates within the framework of a higher organization such as a league.

TEAM OBJECTIVES

The overall objective of a work team is to exercise control over organizational change (functionally, this involves increased decision-making and problem-solving efforts), although a side effect may be to increase the productivity of individual members. A

primary objective of team building is to increase awareness of group process. In essence, the group members will learn how to control change externally by experimenting internally. The team-building effort will concentrate on barriers to effective functioning and the selection of strategies to overcome these barriers.

VALUES INHERENT IN TEAM BUILDING

The values of our society are changing: individual success no longer is measured solely in terms of monetary gain. More emphasis is placed on individual health and expression, but there also is a growing awareness of the need for interdependence and the health of the whole system. Individuals seek more involvement in the decision-making processes that affect them.

Solomon (1977) identifies five values that represent implicit assumptions about human nature and organizational life. The values underlie the strategies used in team-building efforts. They include a belief in and advocacy of democratic society, freedom of choice, scientific inquiry, a healthy organization, and interpersonal knowledge.

TEAM CHARACTERISTICS

Organizational failures often are not a result of poor leadership but of poor followership. Few training programs teach how to be an effective member of a democratic group. A team member is one of a group of mutual followers. Observation of individuals functioning within teams leads to the following list of characteristics of an effective team member. Such a person:

- Understands and is committed to group goals;
- Is friendly, concerned, and interested in others;
- Acknowledges and confronts conflict openly;
- Listens to others with understanding;
- Includes others in the decision-making process;
- Recognizes and respects individual differences;
- Contributes ideas and solutions;
- Values the ideas and contributions of others;
- Recognizes and rewards team efforts; and
- Encourages and appreciates comments about team performance.

These characteristics are in a sequential pattern, alternating task and relationship behaviors. This pattern of behaviors is the starting point for the development of a model of team building.

A NEW MODEL OF TEAM BUILDING

The new model of team building presented by Chuck Kormanski and Andrew Mozenter (1987) is in accord with Tuckman's (1977) five stages of group development: forming, storming, norming, performing, and adjourning. The model is sequential, developmental, and thematic, as are most theories of group development. The model is sequential in that there are five stages that occur in order; each stage has a general theme that describes group activity. The developmental nature of the model requires that the theme activities be accomplished and problems resolved at each stage before movement to the next stage. The model includes behaviors that are task oriented and relationship oriented and it reflects the elements and characteristics of teams presented earlier.

A Model of Team Building

Stage	Theme	Task Outcome	Relationship Outcome
One	Awareness	Commitment	Acceptance
Two	Conflict	Clarification	Belonging
Three	Cooperation	Involvement	Support
Four	Productivity	Achievement	Pride
Five	Separation	Recognition	Satisfaction

The five themes and their respective task and relationship outcomes are as follows:

- ***Awareness*** (commitment and acceptance);
- ***Conflict*** (clarification and belonging);
- ***Cooperation*** (involvement and support);
- ***Productivity*** (achievement and pride); and
- ***Separation*** (recognition and satisfaction).

Stage One: Awareness

The forming stage of group development involves the task objective of becoming oriented and the relationship objective of resolving dependencies. Awareness is an overall theme. Team members need to understand and become committed to group goals and to be friendly, concerned, and interested in others. Individuals must begin by getting acquainted with one another. The unique identities and personal skills of individuals are important resources to be shared in order to create feelings of acceptance.

However, getting acquainted is not enough; there are many groups in which the members feel comfortable with one another and know one another's strengths and

weaknesses yet accomplish nothing. Therefore, the initial task activity is setting goals. This gives meaning to the team's existence. Not only do individuals need to understand how the team fits within the organization, they also need to understand how they are related to the team's goals.

The desired outcomes for the first stage are commitment and acceptance. These outcomes are critical to team development and are prerequisites to movement to the next stage.

Stage Two: Conflict

The storming stage of group development involves the task objective of resistance and the relationship objective of resolving feelings of hostility. Conflict emerges naturally. Teambuilding behaviors at this stage include acknowledging and confronting conflict openly at the task level and listening with understanding to others at the relationship level. Desired outcomes in this stage are clarification and belonging.

It is important that individuals listen attentively and actively to all viewpoints at this stage. The diversity of opinions shared provides the team with a vital source of group energy. Team members become responsible for developing an atmosphere that encourages and supports the expression of opinions and fosters a sense of belonging. By encouraging expression of all disagreement and dealing with it, a team further clarifies its purpose and begins to define its most effective means for working together.

Stage Three: Cooperation

The norming stage of group development involves the task objective of promoting open communication and the relationship objective of increasing cohesion. The overall theme is one of cooperation. Appropriate behaviors for team members are including others in the decision-making process (task) and recognizing and respecting individual differences (relationship). The desired outcomes for teams in the third stage are involvement and support.

As collaboration becomes a team norm, a feeling of genuine support develops. Members are more able to give and receive feedback. As the giving and receiving of feedback increases within the team, members have a better understanding of where they stand and become more involved in decision making.

Stage Four: Productivity

The performing stage of group development involves the task objective of solving problems and the relationship objective of promoting interdependence. The general theme is productivity. Team members are encouraged to contribute ideas and solutions and to value the contributions and ideas of others. Desired outcomes for this stage are achievement and pride.

In team building, members work collaboratively to achieve desired goals and objectives. In successful teams, members are challenged to work to their greatest

potential in order to do this. A major concern at this stage is sustaining momentum and enthusiasm. Complex goals and objectives require the creation of incremental steps and subgoals. The establishment of milestones or benchmarks for success at such points and the celebration when these points are reached contribute both to motivation and team revitalization.

Stage Five: Separation

The adjourning stage of group development may occur for groups that have a specified lifetime. It also may occur when a major task is completed or when new team members are added. Some ongoing teams do not conclude at the fifth stage but recycle from stage five to stage one without adjourning.

During stage five, the task objective is recognizing and rewarding team efforts, and the relationship objective stresses encouraging and appreciating team performance. The desired outcomes of the final stage of team building are recognition and satisfaction.

For those groups that are adjourning, an evaluation of team accomplishments provides important feedback regarding job performance and working relationships. This documentation of team history can be used to plan future ventures involving other teams. This also provides a sense of closure for the group and allows individuals to either say goodbye or commit to a future of further collaboration. This stage is, in essence, a final celebration that includes both recognition and satisfaction.

The figure that follows presents an integration of group-development theory and the team-building model described here. For each of the five stages of Tuckman's model, a task and relationship behavior is noted, a general theme is identified, and both task and relationship team-building outcomes are listed.

OTHER MODELS OF TEAM BUILDING

Integration of Group Development Theory and a Model of Team Building

Group Development				Team Building	
Tuckman Stage	**Task Behavior**	**Relationship Behavior**	**General Theme**	**Task Outcome**	**Relationship Outcome**
Forming	Orientation	Dependency	Awareness	Commitment	Acceptance
Storming	Resistance	Hostility	Conflict	Clarification	Belonging
Norming	Communication	Cohesion	Cooperation	Involvement	Support
Performing	Problem Solving	Inter-dependence	Productivity	Achievement	Pride
Adjourning	Termination	Disengagement	Separation	Recognition	Satisfaction

Three team-building models have appeared in the literature. Francis and Young (1979) describe a four-stage model based on participant reactions. Sequentially, the stages are

testing, in-fighting, getting organized, and mature closeness. In this model, the first three stages appear to be behaviors, and the fourth is an outcome. Francis and Young also provide an activity to rate stages of team development; it is composed of adjectives (polite, open), a noun (difficulties), specific behaviors (developing skills, giving feedback), and an emotion (feeling stuck). However, the stages do, in a general way, resemble the themes suggested in this paper.

Woodcock (1979) also presents a four-stage model. The sequential stages describe team performance and are: the undeveloped team, the experimenting team, the consolidated team, and the mature team. The initial stage is described as a floundering stage full of negative characteristics and behaviors. Stage two is a set of positive behaviors focused on listening and experimenting. Stage three includes the addition of some work methods and procedures to the behaviors listed in the second stage. In stage four are added another set of behaviors, which describe work outcomes, to those of the preceding two stages.

Woodcock and Francis (1981) propose a model consisting of five stages; it is a revision and combination of their earlier efforts. The first stage is called ritual sniffing, but the behavioral description of team members continues to be one of negative floundering. In-fighting is the second stage; it appears more positive, and the focus is on beginning to develop relationships. Experimentation is moved from stage two to stage three and continues to involve improved relationships. However, task functions are described negatively at this stage. The fourth stage is a renamed version of the third stages of the two earlier theories. It is called effectiveness; it highlights working relationships and task functions. The fifth stage resembles the fourth stages of the two earlier models and is called maturity. It includes the description of stages three and four plus a description of ideal team functioning in both the task and relationship spheres.

THE TEAM DEVELOPMENT RATING SCALE

All three models described in the previous section are presented in terms of team-member behaviors, with the final stage representing a desired outcome. The new model presented by Kormanski and Mozenter identifies specific outcomes at each stage. This permits an assessment by team members of the effectiveness of the team's functioning. The following Team-Development Rating Scale (Kormanski & Mozenter, 1987) can be used for such a purpose.

TEAM LEADERSHIP

Although team development is presented as a process in which the members are mutual followers, the context in which team building occurs requires the facilitator or team leader to have a thorough understanding of the process of leadership.

Kormanski (1985) describes the relationship between group development and leadership style. Using the Situational Leadership® theory of Hersey and Blanchard

Instructions: Provide a rating from one (low) to ten (high) by circling the number that you think is most descriptive of your team.

1. **Commitmen**t
   Team members understand group goals and are committed to them
   10 9 8 7 6 5 4 3 2 1
2. **Acceptance**
   Team members are friendly, concerned, and interested in one another.
   10 9 8 7 6 5 4 3 2 1
3. **Clarification**
   Team members acknowledge and confront conflict openly.
   10 9 8 7 6 5 4 3 2 1
4. **Belonging**
   Team members listen with understanding to others.
   10 9 8 7 6 5 4 3 2 1
5. **Involvement**
   Team members include others in the decison-making process.
   10 9 8 7 6 5 4 3 2 1
6. **Support**
   Team members recognize and respect individual differences.
   10 9 8 7 6 5 4 3 2 1
7. **Achievement**
   Team members contribute ideas and solutions to problems.
   10 9 8 7 6 5 4 3 2 1
8. **Pride**
   Team members value the contributions and ideas of others.
   10 9 8 7 6 5 4 3 2 1
9. **Recognition**
   Team members recognize and reward team performance
   10 9 8 7 6 5 4 3 2 1
10. **Satisfaction**
    Team members encourage and appreciate comments about team efforts.
    10 9 8 7 6 5 4 3 2 1

Team-Development Rating Scale

(1982), he matches leader behavior with follower readiness and pairs them with stages of group development. A high-task, low-relationship leadership style (S1: Telling) is used with a group in stage one (awareness), which implies a low level of readiness. Relationship behavior by the leader is increased as performance and level of readiness improve. This results in a high-task, high-relationship style (S2: Selling) as the group moves into stage two (conflict). The leader's task behavior is reduced as the readiness level increases and the group enters stage three (cooperation). The leadership style involves low-task, high-relationship behaviors (S3: Participating), with the followers assuming more task responsibilities. Relationship behavior by the leader is reduced as stage four (productivity) evolves. Readiness is at its highest level, and the appropriate leader style is a low-task, low-relationship one (S4: Delegating). Finally, when the group enters stage five (separation) and concludes a particular task or its own existence, a crisis occurs. This requires the leader to increase relationship behaviors in order to support the team members (followers) as events move toward a close. This results in a low-task, high-relationship (S3: Participating) style that matches the decreasing readiness level of the members brought on by the crisis of separation.

Burns (1978) says that outcomes ought to reflect the aspirations and expectations of both leaders and followers. He also defines two fundamentally different forms of leadership: transactional leadership involves the exchange of valued things as the major purpose. Transformational leadership increases awareness and acceptance of higher levels of motivation and morality.

Bennis and Nanus (1985) suggest that the difference between transacting and transforming is the difference between managing and leading. Leaders, they say, influence and inspire others through value-driven vision; persuasive, anecdotal communication; and the development of a strong, predictable self. Managers, on the other hand, lead by employing the skills necessary to get the job done. The truly successful teams are both managed and led. Although management skills enable teams to advance successfully through each stage of team development, leadership skills inspire individual team members to realize their full potential at each stage.

Both forms of leadership are critical if outcomes of both a task and relationship nature are desired. However, team members require more transactional leadership during the early stages of group life (and low levels of follower readiness) in order to achieve the team-building outcomes of commitment, acceptance, clarification, and belonging. Increased transformational leadership is required as the team develops and matures. The team-building outcomes of involvement and support require equal amounts of transactional and transformational leadership. Finally, in the advanced stages of group development and readiness, more transformational leadership is required to bring about the team-building outcomes of achievement, pride, recognition, and satisfaction.

In order to bring about the desired outcomes of the team-development process, the team leader needs to master specific skills and teach them to the team members. Although all of these skills may be needed and used all the time, a special group of skills is needed at each stage of team development. As has been stated, both transactional and

transformational skills are required during the early stages of team development, and more transformational skills are needed during the latter stages. Team leaders will discover more opportunities to use transformational skills, and team members will find more situations in which transactional skills are required.

Transactional Skills

The skills used extensively during stage one (awareness) to bring about commitment and acceptance are getting acquainted, goal setting, and organizing. The skills that bring resolution to stage two (conflict) and develop clarification and belonging are active listening, assertiveness, and conflict management. During the third stage (cooperation), the skills used most frequently to promote involvement and support are communication, feedback, and affirmation. The fourth stage (productivity) requires the skills of problem solving, decision making, and rewarding to develop achievement and pride. Finally, during the fifth stage (separation), the skills needed to create recognition and satisfaction are evaluating and reviewing.

Transformational Skills

Selznick (1957) first suggests the importance of transformational skills as critical components of dynamic leadership, but it is Burns (1978) who provides a thorough introduction to them.

In the awareness stage of the team-development model, the transformational skills needed to encourage commitment and acceptance are value clarification, visioning (identifying mission and purpose), and communicating through myth and metaphor (using stories and anecdotes to describe philosophy and define culture). During the

Team-Building Skills

Stage of Team Development	Task and Relationship Outcome	Transactional Skills (Management)	Transformational Skills (Leadership)
1. Awareness	Commitment and acceptance	Getting acquainted, goal setting, organizing	Value clarification, visioning, communication through myth and metaphor
2. Conflict	Clarification and belonging	Active listening, assertiveness, conflict management	Flexibility, creativity, kaleidoscopic thinking
3. Cooperation	Involvement and support	Communicating, feedback, affirmation	Playfulness and humor, entrepreneuring, networking
4. Productivity	Achievement and pride	Decision making, problem solving, rewarding	Multicultural awareness, mentoring, futuring
5. Separation	Recognition and satisfaction	Evaluating, reviewing	Celebrating, bringing closure

conflict stage, the skills of flexibility (developing openness and versatility), creativity, and kaleidoscopic thinking (discovering new ways of viewing old problems) will assist with the development of clarification and belonging. The cooperation stage requires the skills of playfulness and humor, entrepreneurship, and networking (building coalitions of support). At the productivity stage, the skills of multicultural awareness, mentoring, and futuring (forecasting outcomes through trend analysis) help to create achievement and pride. The last stage, separation, requires the skills of celebrating (using ceremony to acknowledge accomplishment) and closure to promote recognition and satisfaction.

The skills essential for successful team development are both simple and complex. They are used by both team leaders and team members. One set (transactional) aids in efficient management, and the other (transformational) promotes effective leadership. The following figure depicts the skills that are used predominantly in each stage of team development.

PRACTICAL APPLICATIONS OF THE MODEL

The team-building model that is related to group development is useful in the formation, growth, and conclusion of organizational teams. With the identification of both task and relationship outcomes at each stage of development, progress can be assessed, and appropriate interventions can be made. Appropriate skills for both team leaders and team members can be identified at each stage.

This model also is an excellent starting point for the design of team-building programs. In addition to teaching new groups about the team process and skills, it can be used to enhance and/or aid groups in all stages of the developmental sequence. Groups that have mastered the transactional skills can be encouraged to acquire the transformational skills or vice versa.

The Team-Development Rating Scale can be used to monitor progress on all ten outcomes. Both task and relationship functions can be assessed, along with the two related outcomes, to determine each stage of development. A total score also can be obtained. Initial data suggest that new teams usually rate themselves relatively high on each outcome (from 7 to 9.5 on the ten-point scale). Overall scores also tend to be high (between 75 and 90) and suggest a somewhat positive expectation of success. As the team members spend more time working together, the ratings decrease until the stage-two outcomes are achieved. Following this critical point, effective teams gradually show increasingly higher ratings until they reach the approximate level of the initial scores.

The team-building model and rating scale provide an internal measurement of the effectiveness of the team to accompany external assessments of goal accomplishment. Both are important, but too often little attention is paid to how the group members work as a team. Essential outcomes can be measured by team members and used to enhance team development.

REFERENCES

Bennis, W., & Nanus, B. (1985). *Leaders: The strategies for taking charge.* New York: Harper & Row.

Burns, J.M. (1978). *Leadership.* New York: Harper & Row.

Francis, D., & Young, D. (1979). *Improving work groups: A practical manual for team building.* San Diego, CA: University Associates.

Hersey, P, & Blanchard, K.H. (1982). *Management of organizational behavior: Utilizing human resources* (4th ed.). Englewood Cliffs, NJ: Prentice-Hall.

Kormanski, C.L. (1985). A Situational Leadership® approach to groups using the Tuckman model of group development. In L.D. Goodstein & J.W. Pfeiffer (Eds.), *The 1985 annual: Developing human resources.* San Diego, CA: University Associates.

Reilly, A.J., & Jones, J.E. (1974). Team-building. In J.W. Pfeiffer & J.E. Jones (Eds.), *The 1974 annual handbook for group facilitators.* San Diego, CA: University Associates.

Selznick, P. (1957). *Leadership in administration: A sociological interpretation.* New York: Harper & Row.

Solomon, L.N. (1977). Team development: A training approach. In J.E. Jones & J.W. Pfeiffer (Eds.), *The l977 annual handbook for group facilitators.* San Diego, CA: University Associates.

Tuckman, B.W. (1965). Developmental sequence in small groups. *Psychological Bulletin, 63,* 384-392.

Tuckman, B.W., & Jensen, M.A. (1977). Stages of small group development revisited. *Group & Organization Studies, 2*(4), 419-427.

Woodcock, M. (1979). *Team development manual.* New York: John Wiley.

Woodcock, M., & Francis, D. (1981). *Organization development through team building: Planning a cost effective strategy.* New York: John Wiley.

SOURCE

Kormanski, C.L., & Mozenter, A. (1987). A new model of team building: A technology for today and tomorrow. In J.W. Pfeiffer (Ed.), *The 1987 annual: Developing human resources.* San Diego, CA: Pfeiffer & Company.

Stage	Theme	Task Outcome	Relationship Outcome
One	Awareness	Commitment	Acceptance
Two	Conflict	Clarification	Belonging
Three	Cooperation	Involvement	Support
Four	Productivity	Achievement	Pride
Five	Separation	Recognition	Satisfaction

A Model of Team Building

TEAM BUILDING FROM A GESTALT PERSPECTIVE

From the time that people first began to hunt in groups, they have been looking for more effective ways of combining individual efforts in order to meet both the needs of the group and the needs of its members.

DEFINITION OF A TEAM

According to H.B. Karp (1980), a team is a group of people who must work interdependently in order to attain individual and group objectives. Teams can be differentiated from other types of groups by certain characteristics. According to Reilly and Jones (1974), teams possess the following unique characteristics:

1. The group must have an agreement or a *reason for working together.*
2. Group members must be *interdependent,* each needing one another's experience, abilities, and commitment in order to reach the common goal.
3. Group members must be *committed* to the idea that working together produces more effective decisions than does working in isolation.
4. The group must operate as a functioning unit *within the larger organizational context.*

A familiar example of a team is the athletic team. Each player (member) has a distinct purpose through which he or she gains an identity. Each player's unique function must be integrated with those of the other players. The players understand and are supportive of the need for interdependent interaction, and the team usually operates within the framework of a larger organization (league).

Not all working groups are teams; some actually are better off if they do not operate as such. The faculty of a university department provides an example of this. Faculty members must at times work together, and departments do function as part of the larger university. However, there is little need for interdependent action because each member usually is solely responsible for the design, execution, and evaluation of his or her own teaching or research. In this case, team building would have little or no relevance or benefit. Other examples of work groups that are not teams are committees, in which the purpose is representation, rather than interdependence; and training groups, for which no charter exists.

THE GESTALT VIEW OF A TEAM

From a Gestalt viewpoint (Karp, 1980), one must make the following assumptions about the nature of teams:

- All the talent necessary to allow the team to be anything it wishes is already present within the group;
- Each team member already knows what he or she wants to do; what must be discovered is how team members are preventing themselves from doing what they want.
- The team's maximum potential for strength and effectiveness is limited only by the limitations that each member imposes on his or her potential.
- The work itself is potentially exciting.

TEAM EFFECTIVENESS

Two perspectives can be applied to the question of how team effectiveness is achieved: *vertical* (through leadership) and *horizontal* (through group dynamics).

Leadership: The Vertical Perspective

Many have advocated the participative-leadership approach as the one best method of managing team development. This is not to say that other styles of leadership cannot be effective. It is highly unlikely, for example, that any football team would vote as a team, prior to each game, on what plays will be run.

More important than the particular leadership style utilized is the team leader's ability to combine individual efforts into group output, to act as a liaison between the team and the organization, and to accomplish these in a manner consistent with the team's values.

Group Dynamics: The Horizontal Perspective

Team members must interact effectively to achieve good teamwork. The concepts of *contact, role,* and *values* are elements of effective team interaction.

Contact. The concept of contact is that each team member is aware of his or her uniqueness and is willing to state views and ideas clearly and to support the principles of awareness and conscious choice.

Members of effective work teams need not be close friends; however, they must feel fairly relaxed with one another and get along well enough to achieve work goals. The norm can be stated as follows: "You are free to be who you are, and I am free not to like you, as long as this does not detract from the effectiveness of our team."

An environment that encourages open expression of disagreement as well as of agreement accepts the reality that people will like some people more than others. This is

acceptable as long as openly stated preferences do not result in discriminatory, unfair, or task-destructive behavior.

Role. Two elements, *function* and *relationship*, are combined in the concept of role. Function is the specific task or tasks that each member performs. Relationship relates to the interaction necessary to complete the tasks—with whom each member must interact and how the interaction occurs.

Role clarity is an important element of the well-functioning team. The team's objectives should be clear and should be agreed on by all the members. In addition, each team member should be aware of the other members' unique contributions to those objectives, thus eliminating any duplication of effort. Effective teams usually are comprised of people whose talents and skills are *complementary* rather than similar.

Values. All decisions, whether they are made by individuals or by groups, are based on values. Three values in particular seem to be characteristic of effective work teams: (a) *task effectiveness*, (b) *focus on the present*, and (c*) perception that conflict can be an asset.*

- ***Task Effectiveness.*** Effective teams place a high value on task effectiveness, with greater emphasis on *doing the right things* than on *doing things right.* This value implies that the team also focuses on the task objective or goal rather than only on the team's ongoing activity.
- ***Focus on the Present.*** The effective team focuses on "right here, right now," an emphasis that allows a flexible response to changing conditions within the team itself and within the organization. The team can make more appropriate decisions when it is concentrating on *what* is happening rather than on *why* it is happening.
- ***Conflict Can Be an Asset.*** Conflict is the source of two necessary elements in the functioning of an effective work group. First, conflict is the primary source of energy in systems; and second, conflict is the main source of creativity. It is important to realize that conflict is absolutely unavoidable. Therefore, the most effective way of dealing with conflict is not to resolve, avoid, or suppress it but rather to make use of it. *More potential for ineffectiveness and marginal performance exists in avoiding conflict than in conflict itself.* When conflict is perceived as an asset, it can be dealt with effectively through collaboration. However, competition or compromise may be more appropriate under certain circumstances (Karp, 1976).

THE PURPOSE AND BENEFITS OF TEAMWORK

Although the implementation of work teams frequently involves much hard work, the rewards can greatly exceed the demands. The following are byproducts of good teamwork: *synergy, interdependence*, and a *support base.*

Synergy

What energy is to the individual, synergy is to the group. The synergy of a group always is potentially greater than the sum of the combined energies of its members. In other words, a group effort often produces better results than the group's most competent member could have achieved alone (Nemiroff & Pasmore, 1975). Effective work teams not only use their energy effectively, they create new energy.

Interdependence

Effective teams are comprised of independent people who must combine their separate efforts in order to reach the group's goal. The focus of the team effort is on combining, rather than on coordinating, resources. Today's organizations must act interdependently; most products and services are too complex, and their respective technologies are too specialized, for any one person to accomplish alone. The team concept links people together in order to approach common objectives from a position of strength and creativity.

Support Base

The average adult spends most waking hours in a work setting. Also, people carry their needs with them at all times, regardless of the location or situation. Obviously, the quality of life must be given as much attention in the work setting as in the home setting.

Teams have the potential to provide social and emotional support for their members, thereby producing more satisfying and productive work environments. In order for a group truly to function as a support base, the group norms that emerge for a team must originate from within the team itself; norms that represent a set of "shoulds" from external sources are not "owned" by the team. And, of course, it often is more fun to work with someone else than to work alone.

CHOOSING TO IMPLEMENT A TEAM-BUILDING PROGRAM

Team building should be undertaken because it is appropriate to the situation, not because it is "in" at the time. Karp poses the following questions to help determine whether teams and team-building programs are appropriate to a particular organizational situation: "Do people need to work interdependently in order to meet organizational objectives and, if so, to what extent?"; "Can greater employee satisfaction, higher productivity, or better quality be attained through the combination of individual efforts?" If the responses to these questions are affirmative, team building may be a positive step both for organizational goals and for personal growth.

REFERENCES

Karp, H.B. (1976). A Gestalt approach to collaboration in organizations. In J.W. Pfeiffer & J.E. Jones (Eds.), *The 1976 annual handbook for group facilitators.* San Diego, CA: University Associates.

Nemiroff, P.M., & Pasmore, W.A. (1975). Lost at sea: A consensus-seeking task. In J.W. Pfeiffer & J.E. Jones (Eds.), *The 1975 annual handbook for group facilitators.* San Diego, CA: University Associates.

Reilly, A.J., & Jones, J.E. (1974). Team building. In J.W. Pfeiffer & J.E. Jones (Eds.), *The 1974 annual handbook for group facilitators.* San Diego, CA: University Associates.

SOURCE

Karp, H.B. (1980). Team building from a Gestalt perspective. In J.W. Pfeiffer & J.E. Jones (Eds.), *The 1980 annual handbook for group facilitators.* San Diego, CA: University Associates.

Vertical (Leadership)

Function

Relationship

- Task Effectiveness
- Focus on the Present
- Perception that Conflict Can Be an Asset

Contact **Role** **Values**

Horizontal (Interactions)

Team Effectiveness

THE TEAM-DEVELOPMENT MODEL

A chief component of work-group functioning is interpersonal relations. Interactions ideally are clear and productive, a norm that many work teams find difficult to achieve. Jones (1982a, 1982b) developed the effective work-group interpersonal-relations model, which contains eight dimensions that must be present in team members' relationships in order for the team to reach maximum effectiveness. The model is based on the realization that people who work together need to cooperate with one another in order to be most effective and productive. Below is an illustration of the model, followed by descriptions of the eight dimensions.

1. ***Participation.*** Members need to be present at team meetings. "Present" in this context refers both to being physically present and to being psychologically present by being attentive and involved. For the team to function well, the members must take part actively, speak up freely and frequently at the team's meetings, and contribute points of view and information.
2. ***Collaboration.*** Obviously, teamwork requires cooperation. Members need to operate as "team players," working toward solutions that benefit the team as a unit. Nay-saying, blocking consensus, and threatening to function independently create a dysfunctionally competitive atmosphere.
3. ***Flexibility.*** Team members should be open minded about others' points of view and should be willing to be influenced by what they hear. They need to let go of personal opinions in the interest of the team and to assume a variety of

responsibilities within the work-group situation. The opposite of flexibility is rigidity, which can destroy the problem-solving and planning processes.

4. ***Sensitivity.*** Team members must be aware of others' feelings. They should not consciously hurt the feelings of fellow team members. Sensitivity also requires monitoring the psychological climate or atmosphere within the team and taking people's needs into account when solving problems. People who behave insensitively often are unaware that they act this way.
5. ***Risk Taking.*** One of the oldest maxims of our culture is "Nothing ventured, nothing gained." This is true of interpersonal relations as well as of business investments. Risk taking in the work-team situation may mean different things to different members; what constitutes a risk for one may be easy for another. Often the most relevant risks that team members can take are confronting negative situations within the team, playing the devil's advocate, adhering to a point of view even if it alienates other team members, and reaching out to other team members to offer emotional support. In a sense, to take risks is itself risky, but the team suffers when too many members "play it safe."
6. ***Commitment.*** Teamwork implies that members' goals are consonant with the group's objectives, that members exhibit a strong "we" attitude, that members are willing to do their fair share of the team's work, and that they support the team within the organization. If a person never volunteers for tasks, is "me" oriented, or speaks disparagingly to others about the team, he or she probably is not committed.
7. ***Facilitation.*** Each member of a team is responsible for helping the team to operate. The concept of facilitation requires shared leadership; formal authority for all guidance is not necessary or even desirable. Facilitating behaviors include providing procedural suggestions for problem solving, harmonizing conflicts within the team, and clarifying tasks and issues within the team. A group that does not critically examine its own functioning (process) is not likely to be maximally effective.
8. ***Openness.*** This aspect of interpersonal relations is probably the most important in determining the team's interpersonal climate. Team members should not withhold significant information from one another; should not be deceptive in their participation; should make their data available for team problem solving and planning; and should openly express their feelings, attitudes, values, and beliefs relative to the tasks and functioning of the group. Of course, a team member can be too open by talking freely about matters that are irrelevant to the team's work, but the more common fault lies in not sharing enough to keep interpersonal relations clear.

DIMENSIONAL BALANCE

Each of the eight dimensions in the model forms a pair with the dimension directly opposite in the circular configuration. Each pair should be kept in balance both within the behavior of individuals and within that of the team. In the following paragraphs, the consequences of balance and imbalance of each are explained.

1. ***Participation/Risk Taking.*** When a person's behavior within a team is "high profile," he or she may or may not be contributing to task accomplishment. This behavior may be attributable to habit or to certain personality traits, or it may be a conscious or unconscious attempt to dominate. On the other hand, the team member who never tests himself or herself may seem to go along with anything, and that person's input can easily become lost. The low-profile team member needs to "stretch" his or her involvement by being present and by trying to learn and grow.
2. ***Collaboration/Commitment.*** When collaboration is not balanced with commitment, the team member is likely to behave politically by cooperating for private, strategic reasons. In contrast, when members are united in purpose, their cooperation furthers group aims.
3. ***Facilitation/Flexibility.*** Ideally, members work at helping the group to function effectively as a unit, and they are capable of being influenced themselves in the process. This produces a situation in which synergy can result. Conversely, when members attempt to influence the dynamics of the group without subjecting themselves to influence, their actions may become manipulative.
4. ***Openness/Sensitivity.*** When people are open, sharing what the group needs to and is ready to hear, the team gains valuable data for problem solving. But when openness is not tempered by sensitivity, inappropriate candor can result, generating stress and diverting the group from its task.

Both the individual members of the team and the team as a unit need to keep these behaviors in balance. It is important that the team reinforce learning through participation, cooperative work on common goals, group problem solving that derives the best from individuals, and functional openness. Keeping these dimensions balanced within the team involves periodic critiquing of the team's functioning and clearing of interpersonal perceptions.

THE TEAM-DEVELOPMENT INVENTORY

Jones (1982a, 1982b) developed the Team-Development Inventory (TDI) from the effective work-group interpersonal-relations model as a means by which workteam members can give one another feedback about how they are working together. Each team member rank orders the other members according to the eight dimensions of effective interpersonal relations defined in the model. The members then exchange

feedback, study the data privately, discuss their perceptions and reactions as a group, plan any behavioral changes, and commit themselves to an action plan for team improvement. By intervening into its own dynamics, a team that takes the TDI can "clear the air."

The TDI also can be used in regular staff meetings. Of course, this approach requires highly focused coaching of the formal team leader in order to ensure a lack of defensiveness on his or her part. The TDI, which is intended to improve routine interactions, can improve the conditions under which normal business is conducted.

FURTHER IMPLICATIONS OF THE MODEL

People who work together usually form one of three types of relationships:

- ***Independent***, in which they create autonomy for themselves as individuals and behave competitively with one another;
- ***Dependent***, in which one person is in charge and is relied on for direction by the other(s); and
- ***Interdependent***, in which they recognize the need for coordination and the possibility of improved results because of their cooperation.

Work teams are most effective if they operate interdependently. The ultimate in work-team performance is the achievement of *synergy*, which is the phenomenon that occurs when the team's work is better and greater than the sum of each member's individual contributions. Unfortunately, work groups often are ineffective even if they are comprised of competent people. Personality clashes, political struggles, ineffectual leaders, unclear goals, people working at cross-purposes—all are examples of dysfunctional workteam behaviors. Worst, an atmosphere of mistrust and caution can develop. Clearly, interpersonal relations play a critical part in work-team functioning and productivity. Ignoring relationships greatly increases the chances that a work team will become dysfunctional. Use of the effective work-group interpersonal-relations model and of the Team Development Inventory can help a work team to move away from conflict and toward synergy.

When attempting to clarify perceptions within a work group, it is important to focus only on behaviors that are directly related to teamwork. Team members may have perceptions of and reactions to one another's behavior away from work, but discussing these as a group may violate others' privacy. Opening up perceptions regarding interaction within the team *is* legitimate and desirable. Working together requires talking about processes as well as accomplishing tasks. Thus, it is ethically permissible to require that people express how they are perceiving and reacting to one another's behavior.

The purpose of the effective work-group interpersonal-relations model is to ensure that the sharing of perceptions among team members is task oriented and constructive.

When a team operates as suggested in the model, it avoids arguments about its "ancient history" and generates solid data to improve team functioning.

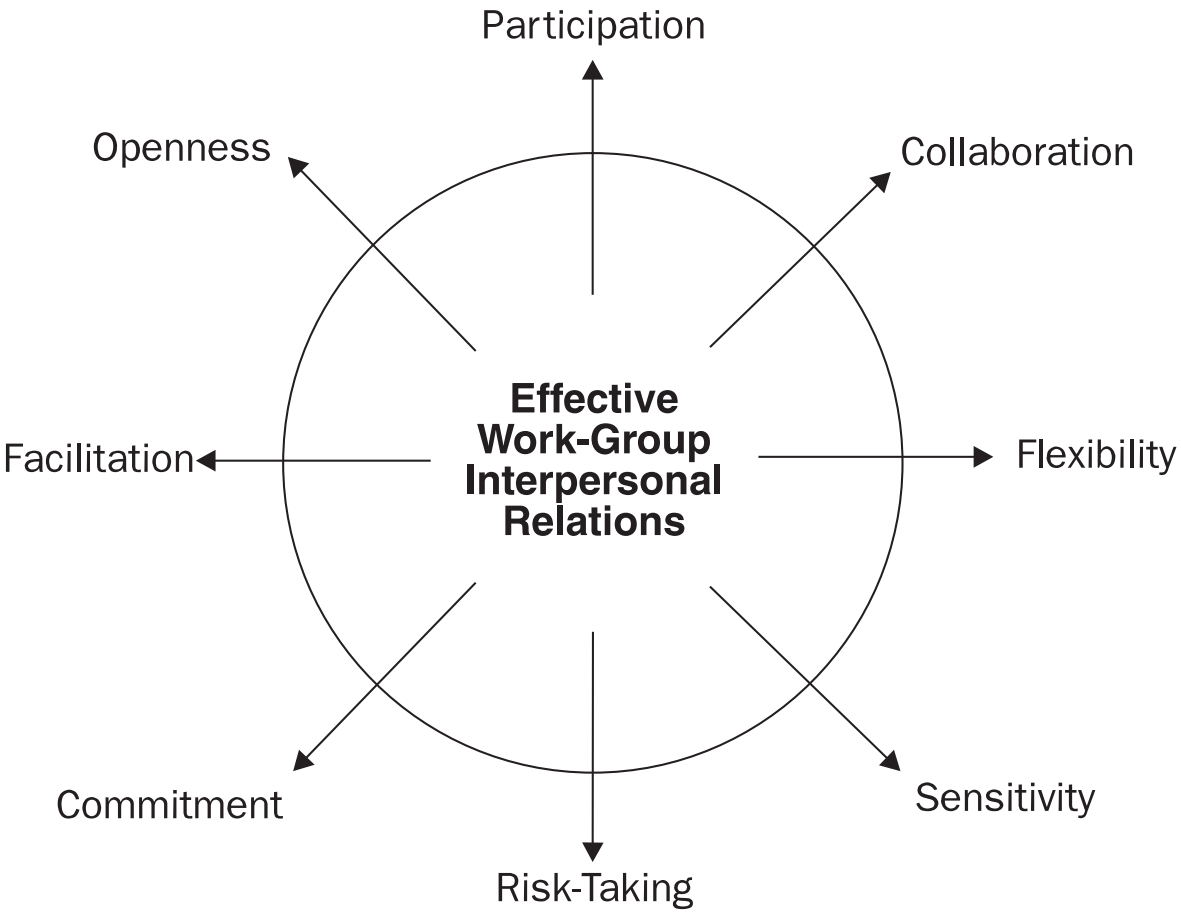
REFERENCE

Reilly, A.J., & Jones, J.E. (1974). Team building. In J.W. Pfeiffer & J.E. Jones (Eds.), *The 1974 annual handbook for group facilitators*. San Diego, CA: Pfeiffer & Company.

SOURCES

Jones, J.E. (1982a). *Team-development inventory: Dimensions of interpersonal effectiveness.* San Diego, CA: Pfeiffer & Company.

Jones, J.E. (1982b). *Team-development inventory: Facilitator's guide.* San Diego, CA: Pfeiffer & Company.



Team-Development Model

TEAM ORIENTATION AND BEHAVIOR INVENTORY (TOBI)

Goodstein, Cooke, and Goodstein (1983) published the *Team Orientation and Behavior Inventory (TOBI),* to provide a theoretically based approach to team building. Prior to this, such approaches were rare, an exception being the Tavistock model of group functioning (Rioch, 1975). However, the Tavistock approach places primary emphasis on issues of authority and power in small groups and its major focus is how the group copes with the issue of leadership. More generally, team-building efforts have tended to be atheoretical. Beckhard (1972) sees four major purposes of team building:

1. To set goals or priorities.
2. To analyze or allocate the way in which work is performed according to team members' roles and responsibilities.
3. To examine the way in which the team is working (norms, decision making, conflict management, etc.).
4. To examine relationships among team members.

Reilly and Jones (1974) define team building as providing the opportunity for a work group "to assess its strengths, as well as those areas that need improvement and growth." Solomon (1979) defines team building as "the introduction of a systematic, long-range plan for the improvement of interpersonal relationships among those workers who are functionally interdependent." All these definitions are fairly clear, but they do not provide a theoretical basis for team building.

The *Team Orientation and Behavior Inventory (TOBI)* presents a theoretically based definition of team building and a rational-theoretical instrument for assessing both the need for and an approach to team building in work groups.

A THEORETICALLY BASED DEFINITION OF TEAM BUILDING

The primary work group is the most important element or subsystem of any organization, and the team leader or manager is the linking pin between that primary group and the rest of the organization (Likert, 1967). As Burke (1982) notes, work groups provide both the setting and opportunity for: (a) meeting the primary social relationship and support needs of all members of the work group; (b) providing work-group members a view of the organization, its structure and goals; and (c) allowing work-group members to connect with other organizational segments as well as with the organization as a whole. Given these important functions, the degree to which work

groups operate effectively is a critical determinant of the overall effectiveness of the organization.

Based on work by Bales (1950), Benne and Sheets (1948) find that group members assume social roles in order to influence the behavior of other group members. They identify three major classes of roles: those necessary to accomplish a task, those necessary to increase the supportive climate and cohesion of the group, and those necessary to satisfy members' personal needs. Benne and Sheets label these three classes as *group task roles*, *group maintenance roles*, and *individual roles* and note that effective team functioning requires a balance of the first two roles and a minimization of the last.

Their analysis provides the background for the following definition of team development or team building:

> The analysis of the relative strength of group task and maintenance roles in functionally interdependent teams for the purpose of establishing, restoring, or maintaining an adequate balance between these two roles in order for the team to function at its maximum potential.

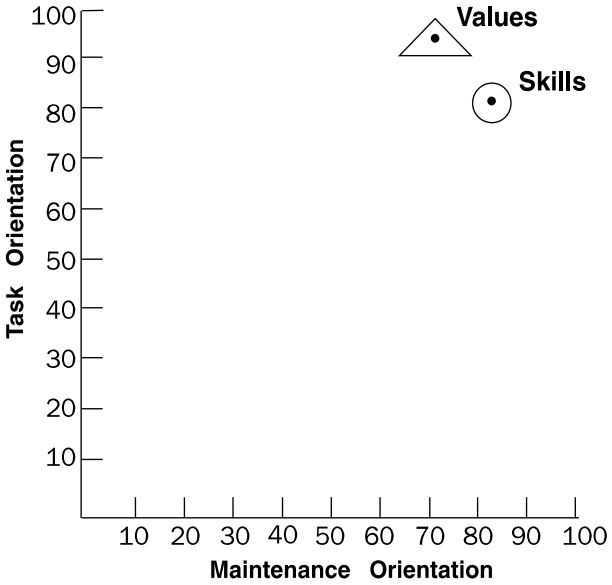
The distinction between task and maintenance is not new. The Ohio State Leadership Studies (Stogdill, 1974) clearly supports the notion of initiation of structure (task) and consideration for people (maintenance) as the two principal, independent axes for understanding leadership behavior. The extension of these dimensions to team work is natural.

Goodstein, Cooke, and Goodstein plot the two dimensions on a grid, with maintenance orientation on the horizontal axis and task orientation on the vertical axis. An additional element, the distinction between attitudes or values on the one hand and skill on the other, appears to be pertinent. One can hold a strong value toward task accomplishment but lack the specific skills for effective group work, such as agenda setting, summarizing, or integrating. Or one may place a low value on group work, believing that groups and meetings usually are a waste of time. Such a person might develop strong task skills, but these skills are typically acquired by people who try to make groups and teams operate more effectively.

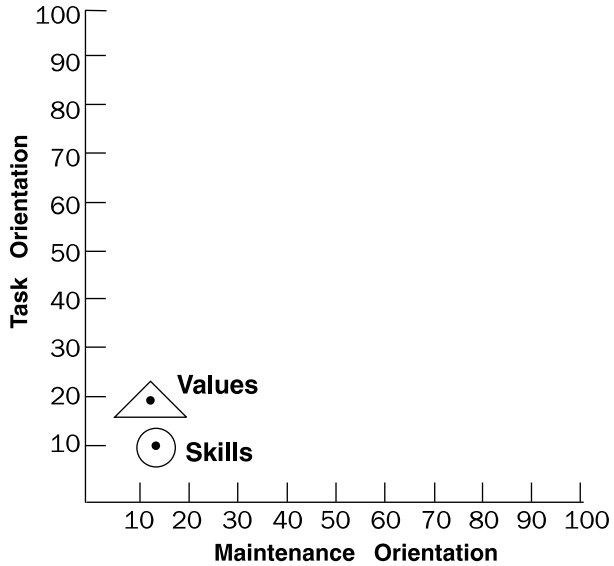
Similarly, a distinction can be made between values and skill in team members' maintenance orientation. Team members either value the support and cohesion that groups provide or they do not, and they either have the skills to enhance maintenance functions, such as gatekeeping or checking on feelings, or they do not. It is more likely that a person will value maintenance but lack maintenance skills than that a person will not value maintenance but possess the skills.

A fully functioning team can be characterized as having members with a high value commitment to both task and maintenance and with high skills in both areas. Such a team profile is illustrated in the first figure on the next page. This profile of a fully functioning team should be the goal of team-development activities.

Trainers and consultants frequently fail because they approach the problem as a lack of skills and do not work with the lack of appropriate values on the part of team members. This Lone Ranger profile is illustrated in the second figure. The task is first to



The Fully Functioning Team Member Profile:
High Skills and High Values on Both

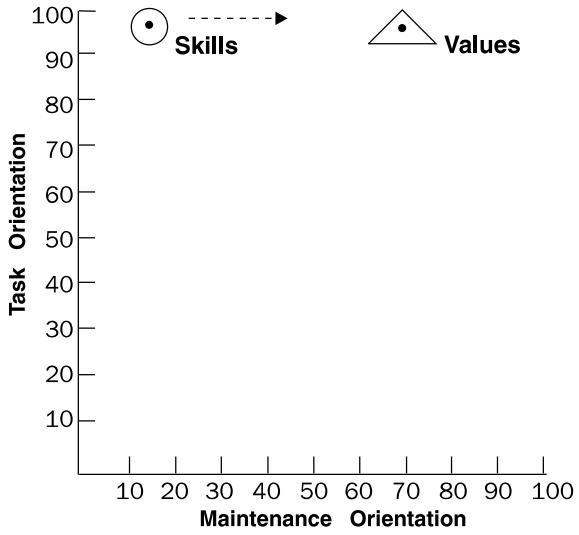


The Lone Ranger Profile:
Low Skills and Low Values on Both Dimensions

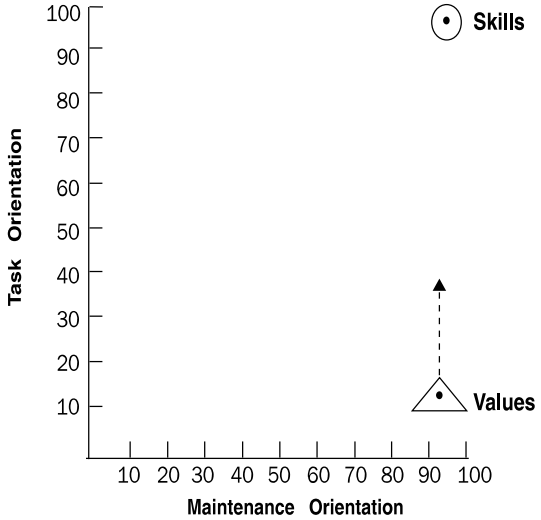
clarify values related to the use of teams, the synergy that teams can produce, when it is appropriate to use teams, and so on, *then* to concentrate on skill development.

Skill training is accomplished readily with group members who have high values but low skills—the Educably Retarded profile shown in the third figure (page 254). In this situation, the group member values both task and maintenance, but has only task skills or has low task and low maintenance skills. The trainer must concentrate on increasing both sets of skills.

There also are some group members who have adequate skills in both task and maintenance but who tend to prize the maintenance functions and pay little attention to the task requirements. Such persons see a group as an opportunity to feel included, to practice their maintenance skills, and to feel good about themselves. This profile often is found among trainers and consultants and is shown in the fourth figure as the Trainer/Consultant profile. Such an orientation is appropriate for T-groups and personal-growth encounters, but not for work groups. Members with such an orientation often are a target of derision in work groups, and their lack of productivity often is the focus of management concern. Value clarification rather than skill development is necessary with such people.



The Educably Retarded Profile: Weak Maintenance Skills with High(er) Maintenance Values



The Trainer/Consultant Profile: Higher Skills for Both Task and Maintenance but Higher Values for Maintenance than for Task Activities

THE TOBI INSTRUMENT

The *Team Orientation and Behavior Inventory (TOBI)* was developed to help the trainer to distinguish issues of values from issues of skills. It provides a yardstick for assessing how much needs to be done on each dimension in order to achieve a fully functioning team. Fifty-six self-report items were created from the descriptions of task and maintenance originally developed by Benne and Sheets (1948). Half the items (28) are concerned with task orientation, half of these (14) with task values and half (14) with task skills. The other half of the items (28) are concerned with maintenance orientation, half (14) with maintenance values and half (14) with maintenance skills. In each of the fourteen subsets, four items are worded in the negative direction in order to reduce any positive response set. All items are on a seven-point, Likert-type response format. The instrument yields four separate scores: task values, task skills, maintenance values, and maintenance skills.

Using the Instrument with Work Groups

Several potential uses for the TOBI can be found in team development with intact work groups: (a) the instrument can be used to assess the task and maintenance commitment and skills of a team and of the individuals on the team; (b) differences across teams can be assessed and compared; (c) posting of individual or team results provides a strong data base for assessing actual team development before and after team-building efforts; (d) the items also provide a starting point for team building by identifying desired attitudes and behavior; and (e) it provides a convenient research instrument for examining group profiles in various work settings.

REFERENCES

Bales, R.F. (1950). *Interaction process analysis.* Reading, MA: Addison-Wesley.

Beckhard, R. (1972). Optimizing team-building efforts. *Journal of Contemporary Business, 1*(3), 23-32.

Benne, K.D., & Sheets, P. (1948). Functional roles of group members. *Journal of Social Issues, 4*(2), 41-49.

Burke, W.W. (1982). *Organization development: Principles and practices.* Boston: Little, Brown.

Likert, R. (1967). *The human organization.* New York: McGraw-Hill.

Pfeiffer, J.W., Heslin, R.E., & Jones, J.E. (1976). *Instrumentation in human relations training* (2nd ed.). San Diego, CA: University Associates.

Reilly, A.J., & Jones, J.E. (1974). Team building. In J.W. Pfeiffer & J.E. Jones (Eds.), *The 1974 annual handbook for group facilitators.* San Diego, CA: University Associates.

Rioch, M.J. (1973). Group relations: Rationale and technique. In A.D. Coman & W.H. Bexton (Eds.), *Group relations reader.* Washington, DC: A.K. Rice Institute.

Solomon, L.N. (1977). Team development: A training approach. In J.E. Jones & J.W. Pfeiffer (Eds.), *The 1977 annual handbook for group facilitators.* San Diego, CA: University Associates.

Stogdill, R.M. (1974). *Handbook of leadership: A survey of theory and research.* Riverside, NJ: The Free Press.

SOURCE

Goodstein, L.D., Cooke, P., & Goodstein, J. (1983). The team orientation and behavior inventory (TOBI). In L.D. Goodstein & J.W. Pfeiffer (Eds.), *The 1983 annual for facilitators, trainers, and consultants.* San Diego, CA: University Associates.

THE TEAM-PERFORMANCE MODEL

The team-performance model, developed by Drexler, Sibbet, and Forrester (1988) offers strategies for coping with the many changes that take place in teams and in the nature of teamwork. More and more, teams today are concerned about information management and service rather than about production. Accordingly, teams are being required to change their working styles and their interactions with others. Team members are becoming highly interdependent, are engaged in complex relationships, and are working toward common goals with imperfectly matched values and ideas. The team-performance model provides methods for mapping the significant events that are happening to a team, for identifying symptoms of destructive or counterproductive activity, and for prescribing actions to move the team toward high performance.

The team-performance model is best suited to work groups whose members:

- Work as a team,
- Share common goals,
- Have different backgrounds,
- Face situations in which values may conflict,
- Choose from among various methods to achieve their goals,
- Perform complex tasks requiring a high degree of interdependence and cooperation, and
- Must perform at an extraordinarily high level in order to achieve their goals.

DEVELOPMENT OF THE TEAM-PERFORMANCE MODEL

The team-performance model integrates Jack R. Gibb's research on group behavior (Bradford, Gibb, & Benne, 1964) with the process theories of Arthur Young (1976a, 1976b), a cosmologist who devised a comprehensive system for understanding the relationship between physical law and the human experience. Gibb contributed the discovery that people bring the following four basic concerns to all social interactions:

1. ***Acceptance concerns*** about the formation of trust, acceptance of oneself and others, anxiety and how to decrease it, and confidence and how to increase it. Acceptance concerns primarily relate to issues of membership.
2. ***Data concerns*** about the communication of perceptions, feelings, and ideas to team members and about the social norms of how they should be expressed.

3. ***Goal-formation concerns*** about goal setting, problem solving, and decision making, and about resolving different motivations. Productivity, fun, creativity, learning, and growing are considered part of goal setting.
4. ***Control concerns*** about the regulation, coordination, and sequencing of activities

Gibb believes that these concerns remain throughout a group's existence. The way in which a group deals with one concern also affects its ability to deal with other concerns. For example, if a team has not resolved basic membership issues, it is unlikely that open and honest communication will be evident.

Young (1976a, 1976b) attempted to describe a unified field theory that integrated the major findings of science. After much research, his conclusions indicated that unity is not found by examining the level of forms and structures but by appreciating the nature of processes. He hypothesizes that all processes represent a constant balance between freedom and restriction, order and chaos. This fundamental relationship between uncertainty and certainty is the core of the study of quantum physics and also is the underlying framework of process theory

The team-performance model integrates Gibb's and Young's findings. As a newly formed team defines its work and makes choices, boundaries and restrictions are created. But when a team chooses a direction and begins to act, it appears to free itself of some of its rules. Teams that are successful in resolving their basic concerns appear to achieve the most freedom. In organizations, high performance is associated with breaking the boundaries of individual capacity. The team-performance model can help teams to explore their limits.

The illustration on page 263 depicts the basic pattern of the model. The model has seven primary elements, each representing a set of concerns that team members face as they work together. For each element, the model describes some typical behaviors that indicate whether or not the concerns of that element have been resolved.

The elements of the model are interdependent; therefore, teams do not necessarily progress through the stages in chronological order. Nevertheless, resolution of the issues of earlier stages can free the team to work through the concerns of later stages. Of course, each team member's perception of the team's issues may vary somewhat; still, members often perceive the situation quite similarly.

Stage One: Orientation

The issues in this stage are *membership* and *acceptance,* both of which are tied to each member's self-perception. The core question during this stage is, "Why am I here?" Each person who joins the team must answer this question in order to begin the process of finding his or her niche in the group. Later, the core question becomes, "Do I belong in this league?"

During the orientation stage, group members also must ask themselves, "Do I want to be here?" One must believe that the group's task is valuable and useful for the organization or for society in order to completely "buy into" the team's mission. One

also must believe that the team can do the task as well as—and preferably better than—one person working alone. If this is not so, the team has no real purpose. Finally, one must believe that one's skills will be used, that one will be heard, that one's presence matters, and that one has the power to influence the direction and the outcome of the team's work.

When a team member cannot clearly picture his or her role in the team, he or she is likely to feel anxious and fearful. A member who does not feel a part of the group tends to focus on this lack of connection and may act withdrawn or distant from the group, offer unsolicited criticism, or find little value in the team's work. In contrast, when team members feel a sense of belonging, they embrace the team's task and gain satisfaction through their participation. They are able to establish solid working relationships and to find a niche in the group. This frees them to address other interpersonal and task concerns.

Stage Two: Trust Building

The focal question during the trust-building stage is, "Who are you?" The hidden concern is, "What will you expect of me?" Many questions need to be answered about fellow team members. Are they reliable? Are they good at what they do? Are they dedicated to their work? Do they have any hidden agendas? Asking these questions and being able to answer affirmatively builds trust. If the questions cannot be answered affirmatively, the group members may tend to be suspicious of one another or to be skeptical about one another's abilities. Group members who trust one another tend to interact spontaneously and without censorship. Trusting groups also often have a norm that any valid feedback is acceptable.

When a team is more heterogeneous, issues of trust can become more complicated. In task forces, for example, members may bring hidden agendas from their individual departments to the task force. These hidden agendas can interfere with the productive functioning of the task force until they are revealed and dealt with.

The level of trust within a group may vary over time. Changes in personnel, especially additions of new team members, often affect trust levels as the group rebuilds itself and as the new members and the existing members appraise one another.

Stage Three: Goal/Role Clarification

Some teams are directed to complete specific tasks. More often, teams are free to manage themselves and are instructed only to accomplish broad goals. Therefore, it is important that the team clarify its mission and assign tasks to each member. This is not always as easy to accomplish as it may sound; a seemingly simple goal may involve many possibilities and choices. During this stage of goal clarification, team members primarily are concerned with issues such as identifying issues and options and managing the accompanying decisions.

Although team members may agree on the group's goals in a broad sense, many differences of opinion may exist about what should be done to accomplish those goals.

Teams usually benefit from clarification of their goals and from the reaching of some consensus about their purposes.

When a team's mission or methods have not been addressed sufficiently, it tends to be plagued either by apathy or by irrelevant arguments. These "fight/flight" symptoms often persist until the group agrees on its mission. Teams that cannot resolve the issues of this stage rarely create or sustain the energy needed to perform at a consistently high level. Instead, members' energies are absorbed by tangential or conflicting activities or by struggles for dominance.

It is important to address not only the team's goals but individual goals as well. Personal goals that are not revealed and shared later may hinder the group in the form of hidden agendas. If members' personal goals are acknowledged early in the teamwork process, members' energies will be freed to achieve personal goals rather than to hide or rationalize them.

When a group can define its agenda clearly and can reach consensus on it, it has created a common vision to guide the organization of its work. Its energies then can be directed outward toward the task, setting the stage for both structure and creativity.

Stage Four: Commitment

At this point, the team finally is ready to take action. The core questions at this stage are, "How?" and "Which way?" Decision making involves much constraint.

In the commitment phase, the team chooses the directions that its work will take and selects a method for dividing responsibilities. After a team has chosen its approach, it often experiences a sense of freedom as things begin to happen and progress begins to be made. The team must be sure to test its agreed-on approach through some system of rigorous planning and reality checking. If it does not, errors affecting the team's ability to achieve its goals will be made.

If the team cannot reach consensus on its goals and on the delegation of responsibilities, it may suffer from *dependence* and *counterdependence.* Dependence is evidenced by the "yes-person" who agrees with others' suggestions without expressing his or her own opinions. Consequently, the work and the responsibility tend to stay with only a few team members. Counterdependence also is a result of passive uninvolvement but is expressed with hostility and antagonism. Both dependent and counterdependent behavior are symptomatic of a lack of understanding of work schedules, of priorities, and of members' roles.

Stage Five: Implementation

The primary issue in this stage is reflected in the questions, "How will things be done; who does what, and when and where?" The sequencing of the work is a major concern. A team in stage five attempts to impose order on its work and to commit itself to a schedule. After a work schedule has been agreed on, team members' energies and attention can be devoted to the tasks themselves.

During the implementation stage, the team must integrate related tasks into a cohesive operation. Sequencing and timing must be carefully planned, and tasks must complement one another. PERT charts, Gantt charts, and the critical-path method can be helpful to a team that is trying to put a complex plan into action. It is most important to remember that one must allow time for the process to get under way. Teams must set schedules and adhere to them.

Team members who have resolved implementation-stage issues know the sequence of events and know their parts in well-ordered processes. If implementation-stage issues are not resolved, tasks are accomplished on a hit-or-miss basis. Team members are confused, argumentative, and late in meeting deadlines.

Team leaders must take care not to take implementation concerns too far. If a team leader schedules such rigid deadlines that the work becomes too segmented or that people feel excessively pressured, team members may feel burned out and may cease to keep abreast of one another's progress. The team leader must ensure that team members continue to feel integrated and that they are informed of the entire project's progress. Teams in which all members understand the "big picture" and how they fit into that picture usually are the most productive.

Stage Six: High Performance

The issue of high performance is less clear-cut than the preceding issues. Each team has different criteria with which to assess performance, productivity, and synergy.

It appears that high performance is brought about in one of two ways. In a time of crisis, a team may rise to the occasion. For example, a work group whose members usually operate independently may lose a member unexpectedly. To fill the gap, the remaining members may band together and share the burden of the extra workload. Crisis-induced high performance is an enormous energy drain and usually can be sustained for only short periods of time.

A longer lasting and less frantic type of high performance is achieved through the resolution of the stages of the team performance model, combined with a little chemistry, timing, and luck. This second kind of high performance is more permanent, although it may ebb and flow. Ideally, each team member believes that he or she is essential to the work effort and feels responsible for his or her contributions.

In a high-performing team, everyone feels a sense of harmony and excitement in being part of the team. The members of such teams can read one another's thoughts, much as people in solid, long-term relationships can. The ability to communicate intuitively appears to result from openness and from a consistency in the team members and their behavior.

Ironically, it is not necessary or even desirable for all teams to aspire to the highest levels of performance. If a team is required to work interdependently and with extraordinary creativity and dedication, striving for high performance may be appropriate. However, teams that complete routine tasks requiring little creativity may be better off not pushing for superlative performance. If such teams' work patterns are

well established and are acceptable to all concerned, the extra energy and time required to increase the level of performance may be wasted.

Stage Seven: Renewal

The renewal stage allows the team to ask itself, "Why continue?" It also allows the team members to examine their jobs and to ask themselves whether the jobs suit their lifestyles and their career plans. To a certain extent, stage seven is similar to stage one, the orientation stage. In both stages, people are trying to assess where they are, why they are there, and what needs to be done. Positive responses to these questions usually energize the questioners and renew their sense of commitment. If the responses are negative, indicating an unwillingness to continue the work, the renewal stage serves to free the questioners to move on.

Work teams can benefit from addressing the issue of renewal from time to time. It is important to find out whether congruence exists between team members' work, the team's work, and the team members' definitions of meaning and value in their lives. If the team realizes that what it is doing is what it wants to do, this realization will produce enthusiasm and harmony. If there are discrepancies, some discussion about whether to continue is warranted. It is not likely that discrepancies would occur without some prior warning signs such as boredom and burnout.

APPLICATIONS OF THE MODEL

Realizing the potential applications of the team-performance model, Drexler, Sibbet, and Forrester (1988) developed a corresponding instrument, the Team-Performance Inventory, to enable work teams to monitor their performance without the assistance of an outside consultant.

The Team-Performance Inventory is a seventy-item questionnaire in an agree-disagree format. The items are divided into seven scales of ten items each. The items represent a range of potential behaviors or attitudes that vary in intensity and polarity. The inventory contains a secondary five-team scale of questions about the team leader's performance. The instrument also assesses the level of interdependence required by the team to achieve maximum effectiveness.

TEAM PERFORMANCE™ INVENTORY AND PROFILE

Although the Model provides a framework, everyday team management requires good data and a common implementation language. The Team Performance™ Inventory is an efficient, seventy-two-question, normative instrument that can be taken at the beginning, middle, or end of a team process. It provides a team profile, which shows how much of each stage the team has mastered, from its members' own observations. The profile then provides feedback by stage and substage, and includes questions that a manager can use in discussions to analyze what the team needs to do to improve its performance.

The inventory and profile can be used in many applications, from quick checks to major reorientation meetings and retreats, depending on the needs of the team.

The fact that the instrument provides feedback on norms—against either the total base of teams who have taken the inventory or against company norms—allows the team to remain conscious of its connection to the larger organization and business environment.

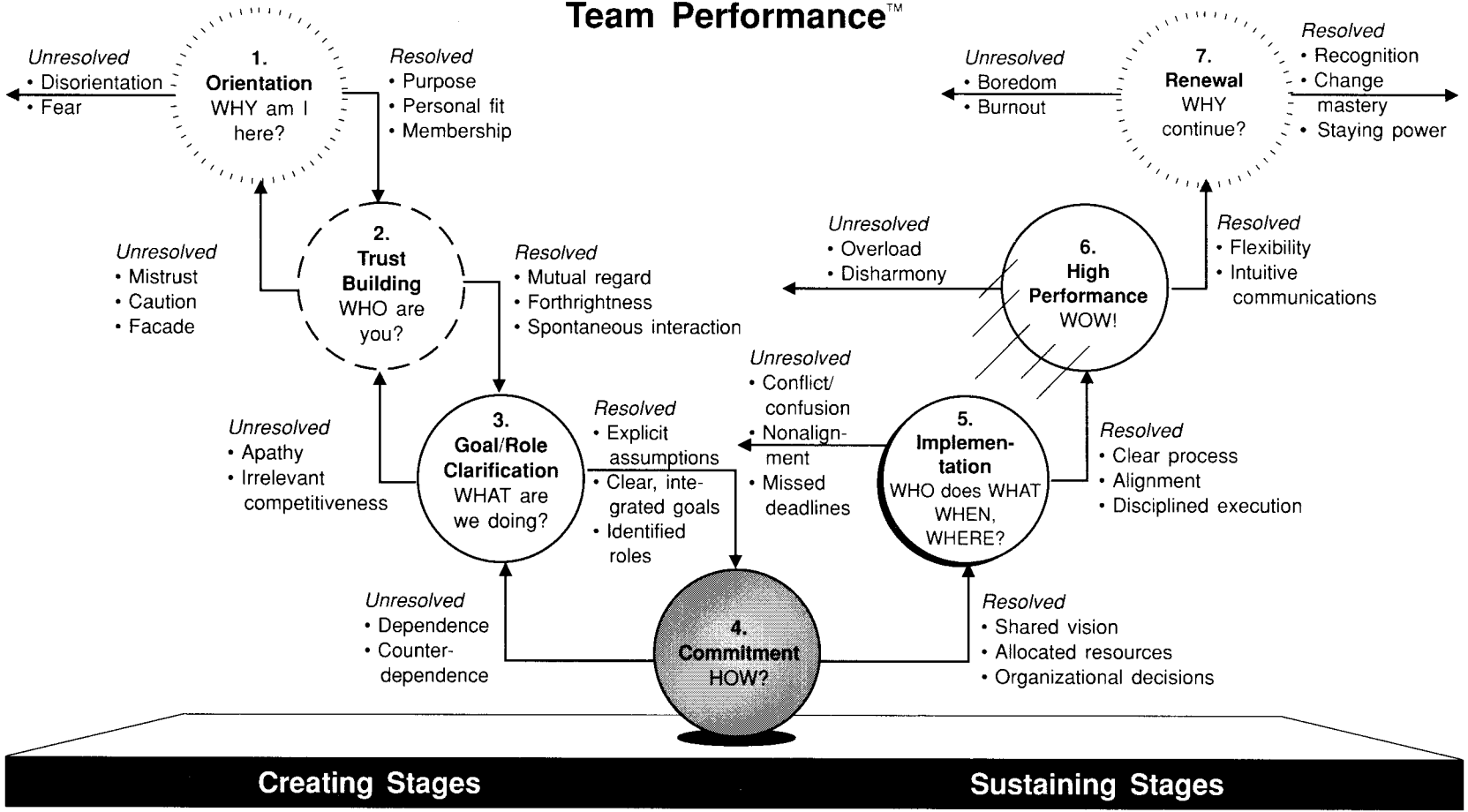
REFERENCES

Bradford, L., Gibb, J., & Benne, K. (1964). *T-group theory and laboratory method*. New York: John Wiley.

Drexler, A.B., Sibbet, D., & Forrester, R.H. (1988). The team performance model. In W.B. Reddy & K. Jamison (Eds.), *Team building: Blueprints for productivity and satisfaction.* Alexandria, VA: NTL Institute for Applied Behavioral Science, and San Diego, CA: Pfeiffer & Company.

Young, A. (1976a). *The geometry of meaning.* New York: Delacorte Press.

Young, A. (1976b). *The reflexive universe.* New York: Delacorte Press.


Stages of
Team Performance™
Unresolved
• Disorientation
• Fear
1.
Orientation
WHY am I
here?
Resolved
• Purpose
• Personal fit
• Membership
Unresolved
• Mistrust
• Caution
• Facade
2.
Trust
Building
WHO are
you?
Resolved
• Mutual regard
• Forthrightness
• Spontaneous interaction
Unresolved
• Apathy
• Irrelevant
competitiveness
3.
Goal/Role
Clarification
WHAT are
we doing?
Resolved
• Explicit
assumptions
• Clear, inte-
grated goals
• Identified
roles
Unresolved
• Dependence
• Counter-
dependence
4.
Commitment
HOW?
Unresolved
• Conflict/
confusion
• Nonalign-
ment
• Missed
deadlines
5.
Implemen-
tation
WHO does WHAT
WHEN,
WHERE?
Resolved
• Shared vision
• Allocated resources
• Organizational decisions
Unresolved
• Overload
• Disharmony
6.
High
Performance
WOW!
Resolved
• Clear process
• Alignment
• Disciplined execution
Unresolved
• Boredom
• Burnout
7.
Renewal
WHY
continue?
Resolved
• Recognition
• Change
mastery
• Staying power
Resolved
• Flexibility
• Intuitive
communications
Creating Stages
Sustaining Stages