This first module explores the human relations model, which focuses on creating and sustaining commitment and cohesion. To build commitment and cohesion, a manager emphasizes an internal focus and flexibility. That is, a manager is concerned about individuals and groups within the organization and the need to allow for flexibility in order to help employees grow and develop. When employees have opportunities to develop their skills and abilities, they typically contribute more effectively to the organization’s performance needs.

Organizational Goals. From the perspective of an organization, the human relations model emphasizes the value of developing committed and involved organizational members. One key assumption is that the best way to develop committed and involved members is to give them an opportunity to participate in organizational processes. In order for employees to participate effectively, managerial leaders need to help employees see how their work fits with other efforts in the organization. Managers should provide employees with regular feedback about how well they are performing. In addition, managers need to balance the needs of individuals with the needs of a work unit and to build cohesion among employees, while encouraging employees to express their individuality.
Creating and Sustaining Commitment and Cohesion

**Paradoxes.** As indicated in the introduction, paradoxes exist when two seemingly inconsistent or contradictory ideas are both true. Leaders are consistently faced with paradoxical situations. Some of these paradoxes emerge from the contradictory demands that are represented by the different quadrants in the competing values model.

For example, the human relations quadrant emphasizes aspects of the organization that encourage flexibility and an internal focus. In this view, a good manager pays great attention to the well-being of people above all else. Paradoxically, an overemphasis on internal aspects of the organization may lead managers and employees to lose sight of the fact that the purpose of work organizations is to produce a product or deliver a service to external customers. Similarly, an overemphasis on flexibility can lead managers and employees to forget the value of maintaining stability and continuity in an organization.

This module includes several paradoxes that emerge from expectations represented by the human relations quadrant. As you examine each of the competencies, you will see that overemphasis on a particular value can actually lead to poor performance. For example, one of the most important competencies of a managerial leader is self-awareness. Increasing one’s self-awareness, however, should be understood as a starting point for developing one’s capacity for personal growth and development, rather than as an end in itself. Paradoxically, the more you learn about yourself, the more likely you are to change and acquire new abilities or character attributes.

Another paradox of the human relations quadrant is the value placed on involving people in decision-making processes. The truth is that people are more committed to decisions that involve their input, and simultaneously, employees develop cohesion with each other when they work on tough problems together. However, anyone who has ever been involved in a learning group knows that groups do not always make the best or most efficient decisions. And group-based decision-making processes nearly always take longer than having one person make the decision. We thus need to be careful about not overusing work groups when a quality decision could be made by an individual.

Finally, a paradox emerges from the fact that it takes time to develop any skill or ability. Thus, in trying to build the team’s capacity in the long run, managerial leaders need to recognize that in the short term, a team will be less effective and/or less efficient as individuals are given the opportunity to learn new tasks.

As you work through this module and attempt to develop your competencies, keep in mind that effective performance will require you to transcend these paradoxes.

**Competencies.** The competencies associated with the Collaborate quadrant focus on how managerial leaders can be more effective in their interactions with others. The first competency is one of the most important a managerial leader can possess—**understanding self and others.**

To be effective, a managerial leader must be able to inspire others to action and so must have an understanding of how she is seen by others. To be effective, managerial leaders must know how to monitor their reactions to situations and determine the basis for their reactions. By developing this type of self-awareness, they develop a greater capacity for self-control. Managerial leaders also grow in their capacity to understand and work more effectively with others.

The next two competencies, **communicating honestly and effectively** and **mentoring and developing employees**, focus on interactions with others. You will find that the ideas about effective communication in this section are useful, not only in the workplace, but also in your relationships outside the workplace.
Next, managerial leaders need to know the key issues associated with managing groups and leading teams. Working on effective teams can be an incredibly energizing experience, but ineffective teams can destroy motivation and jeopardize organizational success.

The last competency, managing and encouraging creative conflict, challenges the idea that conflict in organizations is bad and should always be avoided. An understanding of how to facilitate healthy disagreement will help you be more effective in your interpersonal relationships and in your interactions with groups.

Module 1 Competency 1 Understanding Self and Others

ASSESSMENT 1 Anchors and Oars

Objectives Anchors keep a boat steady, while oars propel a boat forward. All individuals have some personal characteristics that remain constant over time and some characteristics that change. This exercise will help you identify some of your personal characteristics that are most important to your own self-image, both in the way you see yourself and in the way others see you.

Directions-Part 1: Respond to statements 1a, 1b, and 1c, one at a time. Once you have started on your response to 1b and 1c, do not go back to change any of your previous responses.

1. Do the following:
   (a) Write down 10 or more adjectives and nouns that describe who you are now. Examples of nouns that describe you might be son/daughter, student, manager, musician, and so on. Examples of adjectives that describe you might be adventurous, introverted, physically active, well-organized, and so on. Think of as many adjectives and nouns as you can; include phrases if you find this helpful.
   (b) Now write down 10 or more adjectives and nouns that describe who you were 5 to 10 years ago. Again, write down as many ideas as you have.
   (c) Now write down 10 or more adjectives and nouns that describe who you expect to be 5 to 10 years from now. Again, write down as many ideas as you have.

2. Analyze your lists by doing the following:
   (a) Underline or circle the adjectives or nouns that appear in all three lists. These represent your anchors, the ideas that you perceive to be constant across your life. Place a check mark next to those that are most important to you. Write a brief statement that describes why these top ideas are an essential part of your self-perception.
   (b) Next, compare the remaining adjectives or nouns from each list. These represent your oars, your perception of changes that have occurred in your self-perception over time or that you expect to change over time. What are the most important changes in your self-perception as you grow older? Write a brief description to answer this question. In your description, pay particular attention to which themes have changed from 5 to 10 years ago and which you expect to change over the next 5 to 10 years.

Directions-Part 2: Find a partner and write down 10 or more adjectives and nouns that describe that person based on what you know about him. After you have finished, exchange lists and talk about the similarities and differences between the list you created for yourself and the one your partner created for you. Are there some characteristics that your partner identified for you that were absent from your own list? Did either of you make assumptions about characteristics of the other person that were not accurate?
Discussion Questions

Answer the following questions in groups or with the instructor:

1. How have your anchors helped you? Are there anchors that have kept you from making important changes?
2. How have your life experiences encouraged you to make changes?
3. How might you use your current characteristics to help you make the changes you expect to see in yourself over the next 5 to 10 years?
4. How might some of the characteristics that your partner identified but that were not on your own list, affect your ability to achieve your personal goals?

Reflection

Anchors, the characteristics that remain constant, help keep the individuals steady; Oars, the characteristics that change over time, allow for personal growth and development.

The importance of different personal characteristics can vary greatly across individuals and even across situations. For example, a student’s identity as a male may be highly visible in a class that is predominantly female, but much less important in a class that is evenly split between males and females. Identities that derive from group status are likely to be much more important to members of a minority group than members of the majority group.

In addition, your answers probably show that the significance of your various personal characteristics has changed over time. For example, you may have been actively involved in certain activities 5 to 10 years ago that are no longer central to your life now.

Researchers have examined how professional identities can create difficulties as individuals are promoted to managerial positions (Hill, 2003). In these situations, individuals not only need to learn about the knowledge, skills, and abilities expected for their new responsibilities in managerial positions, they also need to unlearn some behaviors that were central to their professional positions. Self-awareness is especially important for effective managerial leaders. Good leaders are very aware of their own strengths and weaknesses and of how others complement their strengths and weaknesses.

ASSESSMENT 2  Develop Positive Habits

Objective

This assessment will help you identify the cues and rewards associated with a specific habit that you now have and would like to change. As you will learn in this module, developing an awareness of the cues for your positive habits will help you be more effective.

Directions

Complete the following steps:

1. Think about a habit that you have now that you would like to change. Write a very brief description of the habit. The following examples show that you can choose a change from any aspect of your life.
   • A pattern of behavior at work (e.g., taking too much, or too little, time to prepare presentations)
   • A pattern in your personal life (e.g., spending too much time watching television and munching on junk food)
   • A habit of behavior you display in multiple settings (e.g., always saying yes whenever you are asked to do something, even when you know you don’t have the time, energy, or ability for the task)
2. Now, close your eyes and think about the last time you engaged in the habit. Visualize the events leading up to the start of the behavior. Think about the emotions and thoughts you were experiencing when it happened.
3. From your reflection, identify the cues that seem to be associated with your actions. Cues are triggers that seem to cause you to engage in the habit. Cues can affect different senses—something that you see, hear, smell, taste, or feel. For example, when you sit down at your computer to work on your assignment, you see the Games icon (cue) and decide that you can play a few computer games (habitual behavior you would like to change) instead of starting to work immediately on your assignment (new behavior you would like to make habitual). Write down a description of the cues that trigger your habit.

4. Finally, think about the “reward” that seems to come to you because of the behavior. A reward is a form of positive feedback. For instance, you may feel temporary relief from stress. You may feel the thrill of winning that comes from a game. Perhaps you feel excitement from making a discovery when you were distracted. Write down a brief description of the reward.

**Discussion Questions**

Answer the following questions in groups or with the instructor:

1. What cues seem to trigger the habit you want to change?
2. What “rewards” do you get from engaging in your habit behavior?
3. What other rewarding behaviors could you substitute for the habit you want to eliminate?

**Reflection**

One of the greatest challenges that all of us face is trying to alter habits that are not helping us achieve our goals. Fortunately, scientific research in neurology and the psychology of habits has made significant advances, many of which are detailed in Charles Duhigg’s book *The Power of Habit: Why We Do What We Do in Life and Business*. Using his investigative reporter’s eye for detail, Duhigg supplements the science with the types of stories that help the key ideas stick, providing powerful examples of individuals who have learned to respond to old cues in new ways, developing more effective and rewarding habits.

“We now know why habits emerge, how they change and the science behind their mechanisms. We know how to break them into parts and rebuild them to our specifications. . . . Transforming a habit isn’t necessarily easy or quick. It isn’t always simple. But it is possible” (Duhigg, 2012, p. xx).

**LEARNING**

Unlike professionals who are responsible only for their own work, managerial leaders are responsible for bringing together the work of a number of people to create a cohesive work unit. Thus, to be effective as a managerial leader requires awareness not only of our own strengths and weaknesses, but also of how our strengths and weaknesses translate into a work style that affects others.

Self-awareness has two elements (Taylor & Bright, 2011). The first element is *emotional intelligence*. This element is internally focused and includes an awareness of our own character, personality traits, emotional reactions, strengths and weaknesses, core values and beliefs, and motivations. The second element is *social intelligence*, the element that is externally focused and includes an awareness of how we are perceived by others in a social context. As we develop emotional intelligence and social intelligence, we acquire both *intrapersonal competence*, an ability for effective self-management, and also interpersonal or *social competence*, an ability to work effectively with others in our relationships (Goleman, 1995, 1998; Goleman, Boyatzis, & McKee, 2002; Seal, Boyatzis, & Bailey, 2006).

Managers with higher levels of self-awareness are much more likely to advance in their organizations than those with low self-awareness (Dulewicz & Higgs, 2000). Perhaps one reason is that self-aware managerial leaders also develop an ability to perceive the strengths,
weaknesses, commonalities, and uniqueness of the people around them. They know how to learn about each employee as an individual. They recognize the distinct abilities in employees, and they understand how employee work styles may differ. They consider how each person contributes to the work of the unit and the organization as a whole.

Strong managerial leaders also consider how employees differ in their feelings, needs, and concerns. Because of their unique traits, people may even react differently to the same situations. An effective manager acknowledges and understands these reactions. He or she uses this knowledge to help employees develop their own self-awareness and potential to accomplish organizational goals and objectives.

For these reasons, many companies focus significant resources on helping managers develop their emotional and social intelligence. Research shows that emotional and social intelligence plays a particularly crucial role at higher levels of the organization, where managers spend the vast majority of their day interacting with others. In their book, Being the Boss: The 3 Imperatives for Becoming a Great Leader, Linda Hill and Kent Lineback note that managers must first be able to manage themselves, before they can effectively manage others. Often, that requires figuratively stepping back from emotional situations and viewing the interactions as occurring among roles, rather than focusing on individuals, particularly oneself (Hill & Lineback, 2011).

The bottom line: If you want to be an effective leader, you need to learn how to understand yourself and people around you. In doing so, you will better understand your own reactions to people and their reactions to each other. You will better know how to work with people on their own self-awareness. You will also know how to position yourself so that you can match your strengths with opportunities.

UNDERSTANDING YOURSELF

OPENNESS TO FEEDBACK: ENABLE OTHERS TO TELL YOU WHAT THEY REALLY THINK AND FEEL

Hopefully, the importance of self-awareness is obvious—if you do not understand yourself, it is nearly impossible to understand others. Yet many people often find it difficult to learn about themselves. One reason is that we have a tendency to surround ourselves with friends or people who are afraid of being honest with us. We don’t like to embarrass others, and our friends and colleagues typically don’t want to embarrass us or bring up something that could create a conflict.

Jerry Hirshberg, founder of Nissan Design International, Inc., notes that people “have mixed feelings about hearing the truth.” He states, “It’s like a chemical reaction: Your face goes red, your temperature rises, you want to strike back.” He labels this reaction “defending and debating” and argues that people need to fight back the tendency to defend and debate by “listening and learning” (Muoio, 1998). Sometimes it can even be difficult for people to receive positive feedback (Taylor & Bright, 2011).

While we may find it difficult to receive feedback, we need to hear from others what they really think and feel about us if we want to develop self-awareness. The late Peter Drucker (1999), who was one of world’s foremost authorities on management and leadership, argued that people must be aware of their strengths, their values, and how they best perform. Robert Staub, cofounder and president of Staub-Peterson Leadership Consultants, asserts that “the
golden rule of effective leadership [is]: Don’t fly blind! Know where you stand with regard to the perceptions of others” (Staub, 1997, p. 170). Yet another crucial area of self-awareness relates to trust (Hill & Lineback, 2011). Do people believe that you have the competence to do the job right as well as the character to do the right thing? Your ability to be effective as a leader rests on your ability to be open to the perspectives of others while maintaining and growing your own sense of self-identity.

EMOTIONAL INTELLIGENCE: UNDERSTAND WHO YOU ARE

One authority on emotional intelligence is Daniel Goleman. He and his colleagues suggest that self-awareness and self-management are the two key dimensions of emotional intelligence. Self-management, the ability to regulate our emotions and control how we use and apply our strengths and capacities, is possible only when we have self-awareness (Goleman, 2000; Goleman et al., 2002).

Self-awareness includes three areas for focus. First, emotional awareness involves recognizing your emotions and how they affect you and others. Individuals who have emotional awareness know what they are feeling and why, and they also understand the connection between their feelings and their actions. Second, self-assessment involves an accurate ability to understand your strengths and limits. Openness to feedback is especially important to self-assessment. Individuals who develop this competence are able to learn from experience and value self-development and continuous learning. Finally, self-confidence refers to an awareness of one’s self-worth and capabilities. Individuals who possess self-confidence present themselves with a strong sense of self and are willing to stand up for what they believe in, even if their perspective is unpopular.

An understanding of personality provides important insights into your emotions, your strengths and limits, and how others perceive you. These insights are essential to the capacity for self-management. When we know what motivates our behaviors, what factors influence how we react in different situations, we gain the ability to manage our reactions.

PERSONALITY: INDIVIDUAL VARIABLES AND OVERARCHING MODELS

An individual’s personality is generally described as those relatively permanent psychological and behavioral attributes that distinguish one individual from another. Personality traits tend to be relatively permanent and stable; personality includes traits that may change in adulthood but are mostly formed in childhood and adolescence. Thus, “individuals can be characterized in terms of relatively enduring patterns of thoughts, feelings, and actions [that] . . . show some degree of cross-situational consistency” (McCrae & Costa, 2008, p. 160). An understanding of personality helps us identify and describe the differences in individuals as well the similarities among people with similar traits.

Personality is complex, as shown by an amazingly rich literature that covers a myriad of individual variables and overarching models of personality that have been studied over time. The two most widely used models of personality in research and in organizational training and development seminars include the Five-Factor Model and the Myers-Briggs Type Inventory.

The first, the Five-Factor Model, is generally seen by psychologists as the most widely accepted taxonomy for studying personality (John, Naumann, & Soto, 2008). As the name implies, the Five-Factor Model presents five factors or basic tendencies that encompass most
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of what has been described by research as personality (McCrae & Costa, 2008). In the model, each factor is named for one of two ends of a continuum. Of course, most individuals do not fall at the ends of the continua, although people are likely to have a tendency toward one end or the other. As you read the description of each of the traits, you might try to place yourself on each of the continua.

The first factor is referred to as **neuroticism**. Individuals who score high on this dimension tend to worry a lot and are often anxious, insecure, and emotional. Alternatively, those who score low tend to be calm, relaxed, and self-confident. The second factor, **extraversion**, has also been referred to as urgency and assertiveness. This factor assesses the degree to which individuals are sociable, talkative, and gregarious in their interactions with others versus reserved, quiet, and sometimes even withdrawn and aloof. The third factor, **openness**, also sometimes called “intelllectance,” focuses on the degree to which an individual is proactive in seeking out new experiences. Individuals who score high on this measure tend to be curious, imaginative, creative, and nontraditional. Those who score low tend to be more conventional, concrete, and practical.

**Agreeableness**, the fourth factor, focuses on the degree to which individuals are good-natured, trusting of others, and forgiving of others’ mistakes, as opposed to cynical, suspicious of others, and antagonistic. Finally, **conscientiousness** is associated with individuals’ degree of organization and persistence. Those who score high on this continuum tend to be more organized, responsible, and self-disciplined; those who score low tend to be more impulsive, careless, and perceived by others as undependable.

Interestingly, researchers have found inconsistent relationships between the five factors and various aspects of leadership. For example, some researchers found extraversion and agreeableness to be positively related, and neuroticism negatively related, to emergent leadership. That is, in a leaderless group, when a group is formed with no explicit leader, the individual who is more extraverted, agreeable, and emotionally stable will likely emerge as the informal leader (Hogan, Curphy, & Hogan, 1994). Other researchers have found conscientiousness to be the strongest predictor of leadership performance (Strang & Kuhnert, 2009). Regardless of which personality factors predict leadership performance, it is important for managerial leaders to be aware of their tendencies as they perform their work.

The second widely used model of personality is the Myers-Briggs Type Inventory (MBTI). This approach is very popular in organizations for understanding differences in employees’ work styles, though its validity has been questioned in recent research. It is one of several personality assessment instruments based on Carl Jung’s theory of psychological types. Jung noticed that people behaved in somewhat predictable patterns, which he labeled types. He noted that types could be described along three dimensions: **introversion–extraversion**, **sensing–intuition**, and **thinking–feeling**. Later, Katharine Briggs and her daughter, Isabel Briggs Myers, added a fourth dimension: **judging–perceiving** (Keirsey, 1998). Their assessment instrument is widely used in organizational workshops to help people understand the different work styles of people in a work unit.

The dimension of **introversion–extraversion**, is similar to the Five-Factor Model’s extraversion factor. It focuses on the degree to which individuals tend to look inward or outward for ideas about decisions and actions. Individuals who are introverted tend to be reflective and value privacy. Individuals who are extraverted tend to like variety and action, and are energized by being with people. The **sensing–intuition** dimension focuses on what we pay attention to when we gather data. Individuals who are sensing types tend to focus on facts and details; they absorb information in a concrete, literal fashion. Intuitive types, on the other hand, tend to try to see the big picture and focus more on abstract ideas.
While sensing–intuition focuses on how we gather data, thinking–feeling focuses on how we use information when making decisions. Thinking types tend to decide with their brains, whereas feeling types tend to decide with their hearts. Thinking types use analytical and objective approaches to decision making. Feeling types tend to base decisions on more subjective criteria, taking into account individual differences. The final dimension, judging–perceiving, focuses on approaches to life and thinking styles. Judging types are task oriented and they tend to prefer closure on issues. They are good at planning and organizing. Perceptive types are more spontaneous and flexible, and they tend to be more comfortable with ambiguity.

Because the underlying management models of the competing values framework reflect different assumptions about how decisions should be made, some organizational scholars have suggested that certain personality types may be more inclined toward some approaches to management than others. For example, individuals who score high on thinking are likely to prefer the rational approach to decision making based on goals and objectives, which is the hallmark of the rational goal quadrant. In contrast, individuals who score high on feeling are likely to be more comfortable with the human relations quadrant approach, which calls for more participative approaches. With respect to the data-gathering dimension, sensing types who want to see the facts and figures are likely to fit well in the internal process quadrant with its emphasis on measurement and control. Conversely, intuitive types who are more interested in the big picture may be more comfortable with the open systems approach, which argues for paying attention to what is going on outside the organization.

The four dimensions of the MBTI can be combined to create different combinations, such as extraverted–sensing–thinking–judging or introverted–sensing–feeling–perceiving. When combining all four dimensions, 16 different personality types can be identified. Workshops that focus on people’s work styles tend to focus on the combinations because they can help people understand why people approach work tasks in different ways. You might think back to a situation where some people in the group jumped right into the task while others wanted to analyze the nature of the problem first. Puccio, Murdock, and Mance (2007) describe these differences as psychological diversity, which they define as “differences in how people organize and process information as an expression of their cognitive styles and personality traits” (p. 205). They argue that this type of diversity can have profound effects on the workplace and note that leaders who understand this type of diversity “are in a much better position to leverage their strengths and to find ways to compensate for their deficiencies” (Puccio et al., 2007, p. 205).

In addition to studying overarching models of personality, researchers also have continued to investigate individual personality variables and their relationship to organizational behavior. For example, many organizational leaders argue that they need employees who are proactive self-starters. Individuals who score high on “proactive personality” measures are more likely to initiate positive changes, even when they face situational constraints (Parker, Bindle, & Strauss, 2010). Research suggests that new employees who score low on proactive personality may require more developmental feedback from supervisors during the socialization process to get them to engage in helping behaviors that go beyond their official roles (Li, Harris, Boswell, & Xie, 2011).

Another individual personality variable that has attracted attention recently, perhaps because of continuing reports of corporate scandals, is guilt proneness, the degree to which a person tends to feel guilt when confronted with unethical or socially unacceptable behavior (Cohen, Panter, & Turan, 2012). Some writers have suggested guilt proneness should be considered when making hiring decisions because people who have strong guilt proneness are
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less likely to engage in counterproductive or unethical behavior. Just as hiring managers can benefit from learning about job candidates’ personalities, each of us can benefit by learning more about our own personalities and sources of motivation.

INCREASING YOUR SELF-AWARENESS

As noted, research has shown that managers with higher levels of self-awareness are more likely to advance in their organizations. It is not, however, simply important to increase your self-awareness. Rather, effective managerial leaders use their self-awareness to identify areas of potential growth, or areas where they can become more effective.

How can you develop greater self-awareness? One important part of the answer is to become intentional about the changes you wish to create in your life. Seal et al. (2006) describe a process called intentional change theory whereby you can identify desirable, sustainable changes by asking yourself a series of questions, starting with “Who do I want to be?” (p. 201). The answer to this question gives you a sense of your ideal self, your vision for how you could exist in an ideal future. This vision of the ideal self should then be connected to your assessment of your real self, your perception of your values and your current strengths and weaknesses. By analyzing your ideal self, you create a list of strengths and abilities that you will need to develop to achieve your vision of the future. By comparing and contrasting how the strengths needed for the ideal self relate to your real self, you can create an action plan to make changes. This learning agenda guides your growth as you intentionally make changes that help you extend and elevate your self-awareness. In the Assessment exercise, you had the opportunity to begin this process, first by engaging in self-reflection, then by receiving feedback from a partner.

Another simple, but helpful framework that can help you develop a more realistic picture of your real self was developed by Joseph Luft and Harry Ingham (1955), who named the framework after themselves, calling it the Johari window. As shown in Figure M1.1, it has four quadrants. In the upper left is the Open area, which represents the aspects of who you are that are known both to you and to others. In the upper right is the Blind area. This quadrant represents the elements of your self that others see but that you do not recognize. In the lower

![Figure M1.1: The Johari window.](image-url)
left is the Hidden quadrant, sometimes referred to as the façade. This quadrant describes those things that you know but do not reveal to others. Finally, in the lower right is the Unknown quadrant. Here are those aspects of your self that neither you nor others are yet aware of; they exist but have not been directly observed, and neither you nor those with whom you interact are aware of their impact on your relationship. When they are discovered, often through deep self-reflection, their impact becomes an important place for personal growth.

The elements of self and other awareness represented by the four quadrants change over time. In a new relationship, the Open quadrant is small. As communication increases, the elements of awareness in this quadrant increase and the Hidden quadrant begins to shrink. With growing trust, we feel less need to hide the things we value, feel, and know. It takes longer for the Blind quadrant to shrink because it requires openness to honest feedback. Not surprisingly, the Unknown quadrant tends to change the most slowly because it requires people to be introspective and to explore things about themselves that are generally taken for granted. While it can be a very large quadrant that greatly influences what we do, many people totally close off the possibility of learning about the Unknown quadrant.

As noted earlier, people sometimes use a great deal of energy in order to hide, deny, or avoid learning about themselves, particularly their inconsistencies and hypocrisies (Arbinger Institute, 2010). When colleagues and employees sense that you are not open to feedback, they will avoid sharing important information with you. As a result, the Open quadrant begins to shrink, and the others begin to enlarge. When the Open quadrant increases in size, however, the others shrink. As a result, more energy, skills, and resources can be directed toward personal growth and development and the tasks around which the relationship is formed. This leads to more openness, trust, and learning, and positive outcomes begin to multiply. One way for you to show others that you are open to feedback is to systematically share information about yourself. Ben Dattner (2008) urges managers to provide their employees with a “Managerial User’s Manual.” He notes that the more you can tell your employees about what you value, what motivates you, and how you work, the more likely it is that you can create an open dialogue about how to work together. He also suggests that the manual should be an evolving document, and that managers should actively solicit input

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<thead>
<tr>
<th>TABLE M1.1 Guidelines for Asking for Feedback</th>
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<tr>
<td>▪ Before asking for feedback, make sure you are open to hearing information that may alter your perceptions. Prepare yourself to hear things that may make you uncomfortable.</td>
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<tr>
<td>▪ Be aware that the person giving you the feedback is describing her own perception of the situation, but realize that her feelings are real.</td>
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<tr>
<td>▪ Ask specific questions about your behaviors. Provide the individual with a clear sense of what types of information you are looking for and how you intend to use this information for your personal growth and development.</td>
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<tr>
<td>▪ Check your understanding of the feedback. Ask questions or give examples and share your reaction(s). Clarify issues, explain your actions, and correct perceptions people may have of you, but do not defend and debate.</td>
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<tr>
<td>▪ Express your appreciation for the person who has given you the feedback. It may have been difficult for that person to be honest with you, and it is important that you show clearly and unequivocally that you welcome the feedback.</td>
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from colleagues and employees about the accuracy and usefulness of the manual. Table M1.1 provides some basic guidelines that can help you increase the size of your Open quadrant by asking for feedback.

UNDERSTANDING OTHERS

Social intelligence includes both social awareness and relationship management. As with emotional intelligence, the ability to manage relationships in your social environment should grow as you develop greater social awareness. Social awareness includes empathy, organizational awareness, and service orientation.

Of special importance, empathy lies at the heart of understanding others, and involves “sensing others’ emotions, understanding their perspective, and taking active interest in their concerns” (Goleman et al., 2002, p. 39). Leaders who are able to show empathy are able to put themselves in the position of others and see the world as others see it. While employees may not always agree with managers’ decisions, they are more likely to trust managers who demonstrate an understanding of their reactions to organizational decisions.

One difficulty of practicing empathy arises when people are uncomfortable with the expression of negative emotions in the workplace. Some people believe that it is unprofessional to express fear, sadness, or anger in the work setting. The fact is, however, that people are emotional beings. The better you are at reading emotions in others, the more effective you can be in helping others appropriately channel their feelings, and thus maintain a more cohesive work environment.

What then can managers do to demonstrate more empathy? What steps can they take to help employees feel that managers are truly interested in their ideas and opinions, even if the final decision is not the one the employee would make? To begin, practice empathy before difficult emotions arise. That is, keep in mind that empathy is more than understanding people’s emotions; it also involves understanding those individuals’ perspectives and concerns.

You might find it helpful to recall the quadrants of the Johari window, remembering that others also have Blind, Hidden, and Unknown areas. Managers who appreciate that employees and colleagues also have these three covert areas and are likely be defensive about them, can begin by encouraging those individuals to move information from the Hidden quadrant to the Open quadrant.

Consider also that the antidote to defensiveness is trust. Paradoxically, the trust you experience with others tends to grow as you invite them to learn more about you. Similarly, you might encourage your employees (and colleagues) to tell you about what they value, what motivates them, and how they work best. Of course, managers need to be sensitive and respectful of others’ need for privacy. If, however, managers model sensitivity, openness, a willingness to learn, and how to ask others for feedback, employees are more likely to reciprocate.

Finally, empathic listening is an important skill that managers can develop as a way to express empathy. This skill is a type of listening that involves trying to understand the situation in the same way that the other person understands it and also trying to feel what she is really feeling (Sparrow & Knight, 2006). The five requirements for engaging in empathic listening are summarized in Table M1.2 and include emptying oneself, paying attention, accepting the other person’s reaction, avoiding judgment or comparison, and staying with the feeling. The skills found in the next section can also be helpful in conveying empathy.
TABLE M1.2 Empathic Listening: Feeling the Experience of Others

1. *Emptying Oneself:* Before you can engage in empathic listening, you must move away from your own problems and concerns. While your personal problems and concerns may be important to you, when you are engaging in empathic listening, you must remember that you need to focus on the other person’s problems and concerns.

2. *Paying Attention:* Listen carefully to what the person is saying, and remember that communication is more than words. What is behind the words? Are the words that are being expressed congruent with the individual’s nonverbal signals? You can use reflective listening (see Competency 2 in this module) to see if there are things the individual is not saying.

3. *Accepting the Other Person’s Reaction:* Remember that you are accepting this reaction as the other person’s reaction. You do not need to agree with this reaction; you simply need to assure the other person that you accept that this is how he understands the situation. Listen carefully for the feelings beneath the statement.

4. *Avoiding Judgment or Comparison:* Once you have accepted the other person’s reaction as valid, avoid comparing this reaction to your own or to other individuals’ reactions. Do not try to suggest that the person should see this in another way or try to provide “the correct facts.”

5. *Staying with the Feeling:* If you have followed the first four steps carefully, you will likely feel some of the same emotions the other person is feeling. Experience that feeling. Determine what you can learn from truly feeling the experience of the other person.

ANALYSIS Use the Johari Window to Analyze Behavior

**Objective**
The objective of this analysis is to give you an opportunity to analyze the behavior of others and discuss your observations in class. Because many people are not comfortable analyzing their friends and coworkers publicly, this exercise focuses on analyzing the behavior of fictional characters.

**Directions**
Use the Johari window as a way to analyze the behavior of a character in a television program or movie as you watch it. You may want to watch with other classmates and compare your observations after you have developed your own ideas.

**Discussion Questions**
1. Were there obvious instances of Hidden, Blind, and/or Unknown areas? If so, how would the course of events change if the character’s Open area was larger?

2. Did any of the other characters attempt to make something in a person’s Blind area known to them? If so, were they successful? Why or why not?

**Reflection**
Just as in real life, characters in popular television shows, movies, and books often behave in ways that either attempt to conceal their true feelings (Hidden areas) or reflect a lack of self-awareness (Blind and Unknown areas). Depending on the aims of the writers in fiction-based programs or the reactions of other cast members in reality shows, the results may be comic or tragic, and the characters may end up enlightened or disbelieving.

PRACTICE How to Receive Feedback

**Objective**
This role-play will provide you with an opportunity to receive feedback and to think about your tendencies when you receive feedback. You will also have an opportunity to practice empathic listening when receiving feedback for yourself.
Creating and Sustaining Commitment and Cohesion

Directions-Part 1: Do the following:
1. Your instructor will provide you with information for a role-play scenario.
2. Select a partner to work with.
3. One partner should give feedback to the other person in a first round of feedback.
4. Switch partners and have the people who previously gave the feedback receive feedback for the second round.

Directions-Part 2: Do the following:
1. Review the requirements for empathic listening found in Table M1.2.
2. Select another partner to work with. You should work with someone new.
3. One partner should give feedback to the other person in a first round of feedback. In this round, focus on empathic listening. Try to incorporate the suggestions found in Table M1.2.
4. Switch partners and have the people who previously gave the feedback receive feedback for the second round. Again, focus on empathic listening as you take part in this round.

Discussion Questions
1. How did it feel to give feedback to another person? To receive feedback?
2. To what extent were you able to be open to the feedback? When you were open to the feedback, what did you think about or do?
3. Did you ever find yourself getting defensive as you listened to the feedback? If so, why do you think that happened?
4. What can you do to stay open when receiving feedback in the future?

Reflection
Staying in an open frame of mind sometimes requires effort. When giving feedback, we can help the recipient be open, rather than defensive, by providing clear, fact-based information. Critical thinking skills can be used to develop feedback that is more effective. For example, rather than making a general claim such as “Tom has an attitude problem,” describing specific examples of Tom’s behaviors and demonstrating why those behaviors are causing problems in the workplace provides more clarity about what Tom needs to do to improve.

APPLICATION Solicit Feedback

Objective
Take what you have learned about self-awareness and apply it in a real-life setting. Then reflect upon the results.

Directions
Do the following:
1. Review the themes you developed in the Assessment for this section. You might also review the themes that you have discovered when completing the Reflected Best-Self exercise at the end of the Introduction, or any additional insights that you have gained from the readings and exercises.
2. Draw a Johari box. Write down the key aspects of yourself that you believe are in your Open area of the Johari window. On a separate sheet of paper, you might also write down a few themes that you believe to reside in your façade window.
3. Choose a friend or coworker whom you feel comfortable with and trust. Make sure this is a person who knows you and someone you think will be honest with you.
4. Explain the Johari window to this person and show him what you have in quadrant 1 (Open area). Explain that you would like to reduce the size of your Blind area (quadrant 3) and are looking for feedback about your work behaviors, focusing on information that will help you work better with others. Read Table M1.1 and follow the guidelines provided. For example, develop some specific questions about how you work with others. Explain that you will welcome feedback that will help you become more aware of your work behaviors. Make sure to show your appreciation to the person for taking a risk.

5. As you listen to the feedback about your Blind area, pay attention to your feelings. Practice the aspects of empathic listening described in Table M1.2. If you begin to feel defensive, take a deep breath, and ask yourself why the information you are hearing is upsetting you.

6. Ask your partner specific questions to help you understand what he or she is saying. For instance, ask for behavioral examples to help you understand why you may be seen in a particular way.

Reflection

Soliciting feedback is an important step in the process of understanding yourself, as well as improving yourself. As you continue to work through the competencies in this text, pay attention to your reaction to the different readings and exercises. If something strikes you as “trivial” or “a waste of time,” ask yourself why you are reacting the way that you are. Sometimes we reject ideas because they conflict with our existing beliefs, and we don’t take the time to think critically about whether our beliefs or the new ideas have stronger supporting evidence.

Module 1 Competency 2 Communicating Honestly and Effectively

ASSESSMENT Communication Skills

**Objective**

The objective of this assessment is to provide you with insight into how you communicate differently with different individuals. Although every interpersonal relationship is unique, we can learn a great deal about our own communication patterns by observing how we communicate with different individuals in different situations.

**Directions**

Think about the communication patterns in two of your relationships—one that is very painful and one that is very pleasant—and assess the degree to which each item listed creates a problem for you. Next, think about how your communication behavior varies in the two relationships and what areas of communication you might need to work on. Answer the questions by using the following scale.

<table>
<thead>
<tr>
<th>Minimal Problem</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
<th>7</th>
<th>Great Problem</th>
</tr>
</thead>
<tbody>
<tr>
<td>Painful Other Self</td>
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<td>Painful Other Self</td>
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<tr>
<td>Pleasant Other Self</td>
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<td>Pleasant Other Self</td>
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</tr>
</tbody>
</table>

1. Expresses ideas in unclear ways.
2. Tries to dominate conversations.
3. Often has a hidden agenda.
4. Is formal and impersonal.
5. Does not listen well.
6. Is easily distracted during the conversation.
Creating and Sustaining Commitment and Cohesion

1. How does your own communication behavior vary in these two relationships?

2. As you compare your own behaviors across the two relationships, can you identify ways that you could change to be more effective in your communication in the painful relationship? What would you like the other person to change?

Reflection

Many people find it difficult to communicate with people with whom they have a negative relationship. Unfortunately, this can result in a downward spiral, as poor communication results in misunderstandings that may cause the relationship to deteriorate even further. In contrast, learning to communicate more effectively and practicing what you have learned may actually help improve negative relationships and strengthen positive ones.

LEARNING  Communicating Honestly and Effectively

Interpersonal communication is perhaps one of the most important and least understood competencies that a manager can have. Arguably, it is at the heart of all the competencies you will encounter in this textbook. Studies consistently show that managers spend the majority of their time engaging in various types of communication—face-to-face, telephone, e-mail, teleconferences, memos, and presentations; organizational researchers see communication as central to the study of both managerial and organizational effectiveness (Tourish & Hargie, 2004). Knowing when and how to share information requires a very complex understanding of people and situations (Zey, 1991).

Communication is the exchange of information, facts, ideas, and meanings. The communication process can be used to inform, coordinate, and motivate people. Unfortunately, being a good communicator is not easy. Nor is it easy to recognize your own problems in communication. In the Assessment exercise you just completed, for example, you may well have downplayed your own weaknesses in communicating and rated yourself more favorably than you rated the other person in the painful relationship.

If, however, you practiced applying the critical thinking tactic described in the Introduction, identifying the grounds and warrants that support your claim, your assessment is likely to be more accurate than if you simply responded based on your initial impression of your behavior. Although most people in organizations tend to think of themselves as excellent communicators, they consider communication a major organizational problem and generally see the other people in the organization as the source of the problem. It is very difficult to see and admit the problems in our own communication behavior.

Despite this difficulty, analyzing communication behavior is vital. Poor communication skills result in both interpersonal and organizational problems. When interpersonal
problems arise, people begin to experience conflict, resist change, and avoid contact with others. Organizationally, poor communication often results in low morale and low productivity. Given that organizing requires that people communicate—to develop goals, channel energy, and identify and solve problems—learning to communicate effectively is key to improving work unit and organizational effectiveness.

**A BASIC MODEL OF INTERPERSONAL COMMUNICATION**

Whenever we attempt to communicate, the information exchanged may take a variety of forms, including ideas, facts, and feelings. Despite these many possible forms, the communication process may be seen in terms of a general model (Shannon & Weaver, 1948), which is shown in Figure M1.2. Although this model was developed many years ago, it remains a useful tool for understanding how communication works and why it often fails.

The model begins with the **communicator** encoding a message. Here the person who is going to communicate encodes ideas into a message, which is sent as a system of symbols, such as words or numbers. While you may not think of yourself as encoding your ideas when you plan to communicate, think about the differences between how you might convey an idea when speaking in class and how you might write that same idea in a paper, or the difference between a text message you might send to your friends to confirm when you are meeting and the e-mail you might send to your professor with the same message. The fact is, many factors influence how ideas are translated (encoded) into the message, including the urgency of the message, the experience and skills of the sender, the sender’s perception of the receiver, and the sender’s cultural expectations and experiences (Beamer & Varner, 2008). For example, in some cultures a verbal agreement is enough to finalize a deal, while in other cultures a written contract is required. Moreover, each language has certain sayings and expressions that are unique to that language and sometimes difficult to convey to others from a different culture.

Once the message is encoded, it must be transmitted through a **medium** (or channel) of some sort. A message, for example, might be written, oral, or even nonverbal.

When choosing the appropriate medium, one consideration is the capacity of that medium to convey information, or what it often called the **richness** of that medium. Richness

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**FIGURE M1.2** A basic model of communication.

*Source: From The Mathematical Theory of Communication.*

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is a function of how well the communication medium simultaneously conveys multiple pieces of information, the degree to which the medium facilitates feedback, and the degree to which the medium allows for a personal focus (Lengel & Daft, 1988). Based on this logic, face-to-face communication is considered the richest medium, whereas written communications, such as reports and general announcements, and formal numerical information, such as statistical reports and graphs, are considered the least rich. Newer technologies such as Short Message Services, or text messages, have low richness, while Multimedia Messaging Services allow a variety of multimedia content such as photos and video that provide greater richness (Lee, Cheung, & Chen, 2007). As a result, managers have even more choices when selecting the most appropriate communication medium for their messages.

One of the most important skills for a manager is to match the richness of the medium with the needs of the message, rather than merely using the richest medium available (Robert & Dennis, 2005). It is not uncommon now for senior leaders to communicate through multiple channels with varying degrees of richness using technologies such as Facebook, Twitter, Instagram, or blogging to communicate with their employees.

Once the message is sent and received, it must be decoded, which means that the person who receives it must interpret the message. Like the encoding process, the decoding process is subject to influence by a wide range of factors. Finally, there is a feedback loop between the receiver and the communicator. The feedback can take three forms: informational, corrective, or reinforcing. Informational feedback is a nonevaluative response that simply provides additional facts to the sender. Corrective feedback involves a challenge to, or correction of, the original message. Reinforcing feedback is a clear acknowledgment of the message that was sent. It may be positive or negative. Positive feedback communicates that the message was clearly received as the communicator intended, while negative feedback conveys that the message was not clearly received.

The model also includes the element of noise, which is anything that can distort the message in the communication process. As indicated in Figure M1.2, noise can occur at any point in the process. During encoding, a sender may be unable to clearly articulate the ideas to be sent. In the message, a document may leave out a key word. The medium used may have limitations, as when a voice-mail system allows only a limited time for recording and cuts off the message before it is complete. Even if no problems occur earlier in the process, during decoding, the receiver may make wrong assumptions about the motive behind the message.

### BARRIERS TO EFFECTIVE INTERPERSONAL COMMUNICATION

Effective interpersonal communication comprises two elements. First, individuals must be able to express themselves. They need to be able to convey to others what they are feeling, what they are thinking, what they need from others, and so on. Second, individuals must be good listeners. They must be open to truly hearing the thoughts and ideas that other people are expressing (Samovar & Mills, 1998).

Even if these two conditions are met, problems can occur because of situational factors. For example, the physical setting may be too hot, cold, or noisy, or it may have other distracting features.

In other cases, the medium may not be appropriate to the situation. The movie Up in the Air (Reitman, 2009) portrays what happens when an organization fired people using a video
meeting via computer. Such an impersonal medium at a moment of high emotion and intense vulnerability can inflict serious psychological damage on people. Such moments call for a richer, more personal face-to-face approach.

In general, the greater the complexity and emotion involved in the message to be conveyed, the more a manager should use rich forms of communication and a broader selection of media. For instance, some information should not be conveyed solely through face-to-face interactions. Performance evaluations, for example, should include both face-to-face and written elements. In addition to a personal meeting, a manager should develop written documentation that includes an assessment of the prior period’s performance, as well as expectations for the coming performance period.

Other examples include oral presentations in which visuals with statistical analyses should be supplemented with charts and graphs. Similarly, formal messages may be inappropriate in settings that are highly informal, and informal messages may be inappropriate in a setting that is highly formal. In sum, one principle of effective communication is to match the form and richness of communication with the needs of the situation.

In addition to considerations of context and richness, the list below describes several barriers that reduce the effectiveness of interpersonal communication.

- **Inarticulateness.** Communication problems may arise because the sender of the message has difficulty expressing the concept. If the receiver is not aware of the problem, completely inaccurate images may arise and result in subsequent misunderstandings.

- **Hidden agendas.** Sometimes people have motives that they prefer not to reveal. Because the sender believes that the receiver would not react in the desired way, the sender becomes deceptive. The sender seeks to maintain a competitive advantage by keeping the true purpose hidden. Over time, such behavior results in low trust and cooperation.

- **Status.** Communication is often distorted by perceptions of position. When communicating with a person in a position of authority, individuals often craft messages to impress and not offend. Conversely, when communicating with a person in a lower hierarchical position, individuals may be dismissive or insensitive to that person’s needs. Similarly, a person may not be open to listening to the ideas and opinions of persons who are in a lower hierarchical position.

- **Hostility.** When the receiver is already angry with the person sending the message, the communication will tend to be perceived in a negative way, whether or not it was intended that way. Hostility makes it very difficult to send and receive accurate information. When trust is low and people are angry, no matter what the sender actually expresses, it is likely to be distorted.

- **Distractions.** If people believe that they can multitask while they are communicating, they may not be focused on the subject of the communication. For example, people may try to listen to a conversation while they are also listening to music or reading their e-mail. While this is especially true of the receiver, it can also be true of the sender. In addition, senders may create distractions by fidgeting while talking or looking away from their communication partner during a conversation.

- **Differences in communication styles.** People communicate in different ways. For example, some people speak loudly; others speak softly. Some people provide a great deal of context; others get right to the point and are only interested in “the bottom line.” Some of the many differences in communication style are attributable to personal characteristics, such as gender or cultural background. Misunderstandings can develop if people listen less carefully because they are distracted by or uncomfortable with another person’s style of communication.
- **Organizational norms and patterns of communication.** Communication barriers that stem from organizational norms and communication patterns may prevent individuals from asking questions or discussing difficult issues. For example, scheduling meetings with no time on the agenda for discussion is likely to stifle communication. Similarly, if every proposed change is routinely dismissed with “that’s not the way we do things here,” employees learn not to make suggestions.

When combined with the fact that individuals are often reluctant to engage in conflict, organizational norms that stifle communication can be extremely powerful barriers.

Even more, as discussed in Competency 1 of this module, people often become defensive when receiving messages they fear. Most people have some amount of insecurity, which may cause them to subconsciously avoid certain topics or themes they implicitly do not want to think about. Other people in organizations quickly learn what topics NOT to discuss. They avoid saying things that might make the other person uncomfortable or create conflict. This type of situation is known as a defensive routine (Argyris & Schön, 1996), which describes a pattern in which people in an organization collude to avoid talking about blind spots, sensitive issues, or their real questions and concerns. Defensive routines are particularly likely to occur when discussing issues that relate to values, assumptions, and self-image.

The late Chris Argyris of the Harvard Business School referred to the thoughts and feelings that are relevant to a conversation but are not explicitly stated as “left-hand column issues” because of an exercise he developed to discover what they are (Senge, Roberts, Ross, Smith, & Kleiner, 1994). Left-hand-column issues include both the things people are thinking but not saying and the things they think the other person is thinking but not saying. You can think of left-hand-column issues as things that are “left out” of the conversation. Argyris argued that organizations develop left-hand-column issues that keep important issues from surfacing and being discussed. Instead of surfacing these issues, people work around them, avoid them, make things up, and say things they don’t mean or believe. Often they go through these pretenses to avoid offending people or having to deal with a difficult situation. But when the list of “undiscussables” becomes larger than the list of “discussables,” the organization begins to suffer. Trust erodes, and lots of covering up and avoidance make it difficult for people to improve their performance because they have no idea where they stand with one another. Important information is lost or kept concealed.

How does the left-hand-column exercise work? Imagine a conversation you have had or might have with a person at work. The person might be your boss, a coworker, or someone who reports to you. You could probably write down this conversation fairly easily, but before doing so, draw a vertical line down the middle of the paper. Now, in the right-hand column, write down the actual words spoken by you and the other person. In the left-hand column, write down the thoughts, feelings, questions, and concerns that you have but that you would not express out loud. Here’s an example of such a conversation:

<table>
<thead>
<tr>
<th></th>
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</tr>
</thead>
<tbody>
<tr>
<td><strong>Terry:</strong> I don’t want to wait any longer on getting this position filled. We’ve already waited too long as it is.</td>
<td><strong>Terry:</strong> Have you had a chance to look at the memo with the list of candidates? If you have any questions or hesitations about who ought to be on the list, just let me know. I want you to be comfortable with the people we bring in to interview.</td>
</tr>
</tbody>
</table>
Clearly, these two people are not saying what they are thinking or feeling, but those feelings are influencing the “deep structure” of their behavior. The conversation on the surface is not as powerful as the silent conversation taking place beneath the surface, in the left-hand column. At the end of the right-hand-column conversation that actually took place, both Terry and Troy feel somewhat dissatisfied, but neither one feels comfortable talking about the reason for their dissatisfaction.

People need to be trained to surface left-hand-column issues in ways that are positive and nonpunishing. They need to develop the skills to express their concerns in a way that helps the other person want to hear what they have to say. In the next competency, we will focus on mentoring and developing employees. In order to be able to perform this competency effectively, managers need to be open and honest with their employees. Effective managers also role-model these behaviors for their employees so that they can learn to be more effective at surfacing left-hand-column issues.

Of course, it is important to recognize that not all left-hand-column issues should be communicated. In the previous conversation, for example, it would most likely be helpful for Terry to explicitly state that he considered Michelle LAFleur but did not think that her qualifications fit the position. This might lead to a response from Troy that identified something that Troy had overlooked about Michelle. In contrast, it would not be helpful for Terry to say that he thought Michelle’s only qualification was that she was a friend of Troy’s, even if that was indeed how Terry felt.

Given the number and intensity of these barriers to effective communication, what should you know to help yourself communicate effectively? First, you need to develop a few basic skills to express yourself more effectively. Table M1.3 gives seven basic rules for sharing your ideas with others. Most important, always keep in mind the old adage “Think before you speak.” An effective speaker who communicates the wrong information can create far more problems than an ineffective speaker who struggles to convey the correct information.
Creating and Sustaining Commitment and Cohesion

The Stoic philosopher Epictetus, in *The Golden Sayings*, reportedly said, “Nature hath given men one tongue but two ears that we may hear from others twice as much as we speak.” Of all the skills associated with good communication, perhaps the most important is listening.

Listening is more than hearing what others have to say. Listening requires that we truly focus and try to understand what the other person is saying. Listening has two dimensions (Harris, 2006): concentration and collaboration. Concentration involves focusing and attending to what the person is saying. Collaboration involves responding and providing feedback, letting the other person know that we are actively engaged in the conversation. When we define listening in terms of both of these dimensions, it becomes clearer that listening is a skill that we must develop, rather than one that we acquire as a by-product of how we hear.

*Reflective listening* is a tool that is based on empathy (recall Table M1.2), which helps us experience the thoughts and feelings of the other person. In using empathy and reflective listening, instead of directing and controlling the thoughts of the other person, you become a helper who tries to facilitate her expression. Instead of assuming responsibility for another’s problem, you help that person explore it on her own. Your job is not to talk, but rather to keep the other person talking. You do not evaluate, judge, or advise; you simply reflect on what you hear. In fewer words, you descriptively, not evaluatively, restate the essence of the person’s last thought or feeling. If the person’s statement is factually inaccurate, you do not immediately point out the inaccuracy. Instead of interrupting, you keep the person’s flow of expression moving. You can go back later to correct factual errors.

The reflective listener uses open-ended questions such as “Can you tell me more?” or “How did you feel when that happened?” Evaluative questions and factual yes-or-no questions are avoided. Sometimes it is simply helpful to mirror what the other person has said, using his statements to ask additional questions, thus indicating that you want to hear. The key is to keep the conceptual and emotional flow of expression. Instead of telling, the reflective listener helps the other person discover. What follows is an example of reflective listening to help illustrate how it works.

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**TABLE M1.3 Rules for Effective Communication**

<table>
<thead>
<tr>
<th>Rule</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Be clear on who the receiver is. What is the receiver’s state of mind? What assumptions does the receiver bring? What is she feeling in this situation?</td>
</tr>
<tr>
<td>2.</td>
<td>Know what your objective is. What do you want to accomplish by sending the message?</td>
</tr>
<tr>
<td>3.</td>
<td>Analyze the climate. What will be necessary to help the receiver relax and be open to the communication?</td>
</tr>
<tr>
<td>4.</td>
<td>Review the message in your head before you say it. Think about the message from the point of view of the receiver. Do you need to clarify certain ideas?</td>
</tr>
<tr>
<td>5.</td>
<td>Communicate using words and terms that are familiar to the other person. Use examples and illustrations that come from the world of the receiver.</td>
</tr>
<tr>
<td>6.</td>
<td>If the receiver seems not to understand, clarify the message. Ask questions. If repetition is necessary, try different words and illustrations.</td>
</tr>
<tr>
<td>7.</td>
<td>If the response is seemingly critical, do not react defensively. Try to understand what the receiver is thinking. Why is he reacting negatively? The receiver may be misunderstanding your message. Ask clarifying questions.</td>
</tr>
</tbody>
</table>
Kathie is the manager of the Training and Development Office in a large public agency. The office has 13 professional employees whose primary job is to conduct training for the agency and 2 secretaries. Allen is a relatively new employee who has been asked to develop a new training program “Dealing with Crisis Situations.” Kathie is having her first formal meeting with Allen since he was hired two months ago.

**Kathie:** Allen, I was wondering how you’re doing on the new training program. I had originally hoped that during your first few months we would meet more often, but things have been very hectic. Are you moving along with the project?

**Allen:** Well, at first I felt like I was making good progress, but now I’m at an impasse. I’m just feeling frustrated.

**Kathie:** Can you tell me why you’re feeling frustrated? Is there something about the project that isn’t going right?

**Allen:** I guess I’m just frustrated with the assignment. I’ve gathered lots of information, but when I ask the others about what should be included, some say I’m putting in too much information, and others say there isn’t enough time to practice the new skills.

**Kathie:** So are you feeling like you’re getting different messages from different people?

**Allen:** Yes, and I’m not sure how long the training program is supposed to be. Is it a half-day program, a whole-day program, or a multiday program?

**Kathie:** Based on the information you have gathered, how long do you think it should be?

**Allen:** Well, I think it should be a two-day program, but I didn’t think that I was responsible for making that decision. That’s part of my frustration!

**Kathie:** I think I understand. Is part of your frustration that you’re not sure which decisions you can make on your own and which you need to get approval from others?

**Allen:** Yes, that’s exactly it. I’m not sure of what the rules are around here and how decisions are made.

To the first-time reader, reflective listening sounds very strange. Experience shows, however, that it can have major payoffs. Trust and concern grow with an ever-deepening understanding of interpersonal issues. More effective and lasting problem solving takes place, and people have a greater sense that their ideas are being listened to by others. In short, communication is greatly improved.

Reflective listening is not, however, a solution in every situation. It is time-consuming to really listen. It requires confidence in one’s interpersonal skills and the courage to possibly hear things about oneself that are less than complimentary. There is also a danger that the sender will get into personal areas of life with which the listener is not comfortable and for which a professional counselor would be more appropriate. It is, nevertheless, a vital tool that is seldom understood or employed.

**ANALYSIS** Using the Left-Hand Column to Develop Your Communication Skills

**Objective** This analysis will help you identify gaps between what you say and what you think, as well as to help you understand why those gaps occur. You will experience the left-hand, right-hand exercise described earlier in this section.
Directions  Do the following:

1. Identify a difficult conversation that you had with a friend or work colleague involving a problem that you tried to resolve. The conversation may focus on a problem that has since been solved or one that still does not have a usable solution. The key is to find a problem that you were unable to resolve at that time. Try to identify a difficult problem that involved interpersonal difficulties, such as a conflict about how to do an assignment or a disagreement about who should perform different parts of a task.

2. Write down the approach that you initially took to resolve the problem. What did you talk about? What ideas did you have? What were the interpersonal communication barriers that hindered your ability to resolve the issue? For example, did one of you have a hidden agenda? Were there status differences that created problems? Were there distractions that kept you from being focused on the conversation?

3. Using a fresh piece of paper, divide the paper in half and write down the actual conversation that occurred on the right-hand side of the page. You should focus on the words that were actually spoken. If you cannot remember the conversation verbatim, try to remember the key issues that were raised.

4. On the left-hand side of the page, write down your thoughts and feelings that were unexpressed during the conversation.

5. Read and think about what you have written in your left-hand column. Then answer these questions:
   a. What was it about the situation that led you to feel the way you felt?
   b. What was it about you or the situation that kept you from expressing your thoughts and feelings?
   c. What assumptions did you make about the other person?
   d. What did you lose from keeping certain thoughts and feelings to yourself?

6. Consider how you might move some of your thoughts and feelings from the left-hand column to the right-hand column. Write down one or two specific ideas.

Reflection  Sometimes we don’t express our thoughts and feelings because we don’t feel that we have sufficient grounds for the claims that we would like to make—we don’t trust our intuition. But often our reticence is based on a desire to avoid conflict, rather than a lack of solid arguments. Feelings that are not expressed, however, do not simply disappear. In addition to being willing to express our own thoughts and feelings, we need to encourage others to express their thoughts and feelings and we need to listen carefully when they do. Often the best way to minimize conflict is to raise potentially contentious issues early, before they escalate.

PRACTICE  Using Reflective Listening to Move Thoughts and Feelings to the Right-Hand Column: The Case of Stacy Brock and Terry Lord

Objective  This practice exercise is designed to help you enhance your ability to use reflective listening to surface left-hand-column issues and clarify roles and expectations with another person—a boss, peer, or direct report. The two people in this case, Stacy Brock and Terry Lord, have gotten themselves into a box in their working relationship. They have already had one blowup, and they may have another if they cannot handle themselves effectively. Both need to listen to the other, both need some feedback, and both have things they need to say.
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Directions
Complete the following steps:
1. Your instructor will provide you with a role description for either Stacy Brock or Terry Lord. Read the information carefully.
2. Prepare to act out your role from the perspective of your character. Your instructor may have some people role-play the situation in front of the class or may ask everyone to work together in dyads.
3. Participate in the role-play, following the instructions you have received.

Discussion Questions
Answer the questions below:
1. How well were you and your partner (or the individuals who did the role-play in the front of the class) able to communicate?
2. Did you surface the real issues? Which issues were carefully discussed?
3. Which issues, if any, were undiscussable?
4. What types of reflective listening statements did each person make to help the issues become more discussable?

Reflection
For many employees, performance evaluations are difficult conversations because they involve status differences. Both managers and employees may feel uncomfortable engaging in conflict with the other. If, however, the manager is able to use reflective listening effectively, a potentially explosive situation can turn into a very productive conversation where each can learn from the other.

APPLICATION  Developing Your Reflective Listening Skills

Objective
It is one thing to practice reflective listening in the classroom, but quite another to apply it in your daily life. The objective of this activity is to help you transfer what you have learned about reflective listening into a habit at work and at home.

Directions
1. Over the next week, practice your reflective listening skills. Whenever you are involved in a conversation, try to gain a better understanding of what the other person is thinking and feeling by asking questions.
2. Keep a journal of your experiences using reflective listening. In your journal, keep a record of critical conversations during the week. Write down what you said and how the person responded. Note what types of statements elicited strong responses from the other person, and identify ways to continue developing your reflective listening skills.
3. After the week has concluded, assess whether you found that you were able to become a more reflective listener. Identify and write about the key patterns that you seem to follow when trying to practice reflective listening. Write down one or two specific ideas that you will take to be more transparent in your communication in the future.

Reflection
Techniques such as reflective listening are not difficult to understand, but mastering them requires repeated practice and reflection. The idea of keeping a journal about your experiences with reflective listening may seem time-consuming at first, but it can provide specific ideas about where you need to increase your effort to develop your competence as an effective listener as well as more general feedback about how you are progressing in your development as a more effective communicator. The journal will also help remind you about the importance of practicing listening in the same way you would practice any other skill you want to develop.
Module 1 Competency 3  Mentoring and Developing Others

ASSESSMENT  Assumptions about Performance Evaluations

Objective  Often we hold unconscious assumptions that keep us from questioning the way things are done. This assessment exercise examines your and others’ assumptions concerning performance evaluations.

Directions  Check off the statement in each of the following pairs of statements that best reflects your assumptions about performance evaluation.

Performance evaluation is:

___ 1a. a formal process that is done annually

___ 1b. an informal process that is done continuously

___ 2a. a process that is planned for employees

___ 2b. a process that is planned with employees

___ 3a. a required organizational procedure

___ 3b. a process done regardless of requirements

___ 4a. a time to evaluate employee performance

___ 4b. a time for employees to evaluate the manager

___ 5a. a time to clarify standards

___ 5b. a time to clarify the employee’s career needs

___ 6a. a time to confront poor performance

___ 6b. a time to express appreciation

___ 7a. an opportunity to clarify issues and provide direction and control

___ 7b. an opportunity to increase enthusiasm and commitment

___ 8a. only as good as the organization’s forms

___ 8b. only as good as the manager’s coaching skills

Discussion Questions  Answer the following questions as a class or in groups:

1. As you review your eight answers, do you see any patterns in your assumptions or in the assumptions you did not choose?

2. As you review the statements, think about how the use of performance evaluation benefits the organization, the manager, and the employee. In what ways does each benefit? Are the benefits shared equally?

3. How would you design a performance evaluation process where the benefits are more equally shared?

4. What characteristics of your performance evaluation process would make it more attractive to employees? Would those characteristics increase or reduce the usefulness of the performance evaluation process for the organization?

Reflection  All performance evaluation systems are not created equal, and even the same system may be evaluated differently by different people and at different times. For example, for decades General Electric’s performance evaluation system and leadership training practices have been praised for developing top-flight talent. At the same time, GE has been criticized for its requirement that managers must fire those employees
who rank in the bottom 10 percent. In a cover story in *Bloomberg Businessweek*, Diane Brady (2010) notes that some people have begun to question whether GE’s approach is too rigid. For example, although in the past many other companies have looked to GE when recruiting for top positions, executive recruiter Peter Crist notes that today, companies are looking at other organizations that are seen as “decentralized, sophisticated, and young” (quoted in Brady, 2010, p. 29). Similarly, the idea of firing people just because their performance is at the bottom of the curve may not really make sense if your talent pool is exceptionally strong. As Google’s director of talent management, Judy Gilbert, notes, “When you’re killing yourself to hire the right people, it doesn’t make sense to cull” (quoted in Brady, 2010, p. 31).

**LEARNING  Mentoring and Developing Others**

Depending on your work setting, new employees may be expected to have a great deal of prior education or experience in the work performed in your organization, or they may be expected to learn much of their work on the job. Even within many work settings, some types of jobs may require individuals to have more knowledge and skills as they begin their work than others. For example, within a bank, most bank tellers do not know much about banking when they are hired, but are expected to have basic skills in communication and mathematics and to have a problem-solving orientation. On the other hand, when an individual is hired as a loan officer, he would likely be expected to know basic economic and accounting principles, understand marketing strategy and tactics, and possess good communication skills. Regardless of the knowledge and skills employees are expected to have when they are hired, your role as a managerial leader is to mentor and develop employees.

In a literal sense, a *mentor* is a trusted counselor or guide—a coach. The term derives from a character in *the Odyssey*, the Greek epic poem written by Homer (Bell, 1996). In the poem, Odysseus asks a family friend, Mentor, to serve as a tutor and coach to his son, Telemachus, while he is off at war. In this section, we explore how managerial leaders can be more effective in mentoring and developing employees. We begin by examining formal organizational systems of performance evaluation and examine ways in which these can be structured to provide benefits to the employee, the manager, and the organization. We then look at mentoring and performance coaching as more informal processes that can be used to develop employees in an ongoing fashion. We conclude by looking at delegation as a means of developing employees’ competencies and abilities by providing them with opportunities to take on more responsibility. While the primary focus is on mentoring and developing employees, you should keep in mind that there are many other situations where you can apply the knowledge and skills presented here. For example, if you are a member of a club or community organization, you may have opportunities to mentor and develop others. Even outside of formal organizational settings, you may serve as a mentor to friends and family members.

**CONDUCTING EFFECTIVE PERFORMANCE EVALUATIONS**

In the Assessment exercise at the beginning of this competency, you chose between two options in eight pairs of assumptions about performance evaluation. In each pair of statements, the “a” answer reflects the traditional values of the control model that provide the basis for most
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organizational performance evaluation processes. Evaluation processes that are solely based on these control values, however, are generally disliked by both managers and employees. When evaluation is conducted as a means of control, it is generally associated with negative criticism (Jackman & Strober, 2003).

Indeed, as you might expect based on your own experiences of being graded in school, performance evaluation is one of the most uniformly disliked processes in organizational America. A survey of human resource professionals conducted in 1997 by Aon Consulting and the Society for Human Resources Management found that only 5 percent of the respondents were very satisfied with their organization’s performance-management systems (Imperato, 1998), and one recent writer has gone so far as to say that performance reviews should be abolished (Culbert, 2010). Because employees are not eager to hear criticism and managers fear negative reactions from employees, even to what managers see as constructive criticism, most individuals look on performance evaluation as a management process with little benefit to the organization, the manager, or the employee (Jacobs, 2009).

On the other hand, all of the “b” statements in the Assessment reflect human relations values and indicate a desire for involvement, communication, and trust. When performance evaluations are conducted from the human relations perspective, they are not one-time, stand-alone meetings. Rather, from this perspective, performance evaluation is seen as part of an ongoing, multistage process that encourages regular feedback between the manager and the employee. Further, the human relations approach to feedback creates a context that integrates the values of both control and collaboration, connecting these two views of managing.

Although feedback should be ongoing between managers and workers, most organizations have some form of comprehensive performance management system. Typically managed as an annual process, individual performance evaluations are a key component of these systems. Module 3 addresses how effective performance management systems translate the organizational strategic vision into unit and individual goals, while this module focuses specifically on the relationship between supervisor and subordinate.

THE PERFORMANCE MANAGEMENT PROCESS

A typical model of a strategy-based performance management system includes four stages (Grote, 2002). The first stage, performance planning, begins a year before the actual performance review, and involves a meeting between the manager and the employee to discuss performance expectations for the next 12 months. If done well, with authentic two-way interaction, this meeting provides a co-created preview of the year’s activities, with an understanding of how both manager and employee will work together to achieve success (Culbert, 2010). Both the manager and the employee should contribute actively to this discussion, which focuses on “the key responsibilities of the person’s job and the goals and projects the person will work on” as well as “the behaviors and competencies the organization expects of its members” (Grote, 2002, p. 1). The discussion might include specific development activities, such as attending a training workshop or webinar.

In the second stage, performance execution, the employee carries out his tasks and responsibilities. The manager provides coaching and feedback on a regular basis. As you will see in the next section, coaching is generally seen as less formal than performance evaluation, but provides the foundation for that meeting. The manager and employee should meet together periodically, with at least one formal meeting midway through the year, and maybe more
often, to discuss progress toward meeting goals developed at the performance planning meeting (Grote, 2002). The employee should also feel empowered to seek feedback or help from the manager as needed to stay on track or make adjustments to the goals as the year progresses.

The third stage, performance assessment, involves gathering information on how well the employee has performed, and should begin a few weeks before the performance review meeting. The performance assessment should focus on how successful the employee was in reaching her goals, as well as how well the employee performed with respect to expected behaviors and competencies. The employee should be given an opportunity to provide information about her performance during the year. The manager may also involve others in the organization who interact with the employee on a regular basis.

The final stage is the performance review meeting. At this meeting, the manager invites the employee to provide a perspective on his performance during the year. The manager should practice active listening, asking questions to clarify her understanding of the employee’s perspective. The manager also provides formal feedback on the employee’s performance. Together, the manager and employee should develop areas for development. In addition, either in this meeting or in a meeting to follow shortly, the manager initiates the planning cycle for the next year. The manager and employee co-create a performance plan for the next cycle that includes commitments from both of them.

Notice in this description the importance of two-way interaction. Often, both managers and employees feel significant anxiety about the performance management process. A failure on the part of the manager to involve the employee in a significant, authentic way tends to exacerbate stress, strain their relationship, and reduce trust. However, when the annual performance review is part of an ongoing, healthy dialogue between manager and employee, the process empowers both managers and employees to function at their best.

**THE ANNUAL PERFORMANCE REVIEW**

When you participate in a formal performance management review either as manager or as employee, make sure that your own objectives are clear. Know what you want to accomplish. Strive to develop some degree of empathy for the other. Get into a developmental frame of mind (Krieff, 1996). Ask yourself how you really feel about the person and, most important, how you can really help the person. Strive to establish a relationship of trust with the other person well before the formal review so that you can be open to the process. Remember that the performance evaluation will be most effective if the employee is ready to hear your feedback (Silberman, 2000).

Make sure that the employee has an opportunity to write a self-evaluation ahead of the meeting. Ask him to list the things that he has done well; contribute to the list as much as possible. You should also ask the employee to reflect upon the goals of the past year, identifying successes and challenges.

When you meet with the employee, start by asking the employee to share her perspectives. Talk together to identify, in an authentic way, the strengths and positive contributions of the employee to your organization. Add your insight about strengths that may be in this person’s blind spot.

When you turn to areas that might need improvement, again ask the person to share his perspective. Ask clarifying questions. Then provide your own perspective about the employee’s performance and the impact on the organization.
You might talk together about the upcoming year. Some organizations use the performance review meeting to begin the next cycle, but it is usually better to hold an additional meeting that focuses on performance planning (Grote, 2002). Still, you can begin working on a list of suggestions about performance objectives for the next year.

Finally, you should discuss the person’s career development plan and what progress has been made with respect to the plan. If there is no such plan, one of the assignments should be to write a plan; you may need to help the person here. At the conclusion of the session, summarize what each of you might do differently during the next few months. After this, do an overall review, checking the employee’s understanding of each action step. Do a final summary, and set a time for the next performance planning meeting.

At the performance planning meeting, work with the employee, listening and offering suggestions, until you agree on a list of objectives. Identify specific actions that should be taken to accomplish the objectives. Ask the employee what you can do to provide support.

If your organization already has a system in place, you might consider its effectiveness from the perspective of employee growth and development. Does your current system consider employees’ need for feedback? Does it encourage managers to engage in frequent conversations with employees during the time period from one performance evaluation to another? As noted earlier, managers should meet at regular intervals with each employee to provide specific feedback on employee performance and suggestions for improving performance.

Table M1.4 provides some guidelines for giving feedback. While these guidelines are generally useful for both informal conversations and formal performance evaluation sessions, managers should recognize the differences between ongoing feedback and the performance review meeting. Evaluation focuses on judging an individual’s contributions, whereas feedback is more focused on “improving performance by making information available to the employee” (Bacal, 2004, p. 146). To provide such information, managers need to make sure that they regularly observe the performance of employees and make notes of concrete incidents that can provide specific examples of both positive and negative behaviors.

In considering your organization’s performance management system, you may also try to identify additional techniques for increasing employees’ involvement, communication, and trust. For example, it is a best practice to focus more on employees’ perceptions of their work and suggestions for improvement than on the manager’s (Jacobs, 2009). Of course, this would require that employees have access to other forms of feedback, either directly based on output or from others with whom they interact, such as colleagues or customers. Jacobs (2009) suggests that such a system helps develop employees to a greater extent because it gives them greater responsibility for their success. Even if the employee’s perception does not drive the performance review meeting, you can ask the employee to prepare a written evaluation of her performance for you to read in advance of this meeting. By reading the employee’s self-evaluation in advance, you can develop greater empathy and gain a better understanding of how this person sees her performance. In scheduling the session, be sure to set aside enough time to fully discuss the employee’s self-evaluation and make sure that you have a private setting where you will not be interrupted. By allowing enough time and space to fully discuss the employee’s self-evaluation, the session can become a learning opportunity for both yourself and the employee.

Our focus in this competency is on how performance evaluations can be used to help develop employees. Keep in mind, however, that performance evaluations can have a significant impact on employee motivation, whether or not those evaluations are linked to specific incentives (e.g., Engellandt & Riphahn, 2011). Thus, we will return to issues related to
In the previous section, we examined the performance evaluation process and noted that it is generally disliked in organizations. One reason why performance evaluations are generally disliked is that managers and employees both tend to see the performance evaluation process as focused on control, providing managers with an opportunity to raise concerns about employees’ poor performance. In contrast, the performance evaluation process also can be seen as focused on collaboration. From this perspective, the performance evaluation process provides an opportunity to celebrate an employee’s successes and identify opportunities for new achievements in the future. In making suggestions about how to improve such systems, we focused on finding ways to personalize the process and providing employees with more opportunities for input into the process. In recent years, there has been growing emphasis on two organizational processes that are designed to help employees grow and develop—coaching and mentoring. Both of these processes emphasize the one-on-one relationships between an employee and someone who is more experienced, either a coach or a mentor, and both emphasize the use of feedback as a tool for development.
Although the terms coaching and mentoring are often used interchangeably, many people differentiate between the two, emphasizing that coaches tend to be the individual’s direct supervisor, whereas mentors are often one or two levels higher in the organizational hierarchy and may even be in a different department or division. In addition, many organizations have formal mentoring systems, in which an individual is assigned a mentor, whereas coaching occurs when a trusting relationship develops between an employee and his supervisor so that the individual is able to grow and develop in his career and in the organization. In organizations that have formal mentoring systems, the focus of the mentoring relationship may be to help the protegé build his network within the organization, rather than to provide feedback on specific work-related behaviors (Hughes, Ginnett, & Curphy, 1999).

Gilley and Gilley (2007) identify a number of benefits of coaching to the individual, the manager, and the organization. Several of these benefits also occur when the relationship is with a mentor, rather than with a coach. For individuals, the greatest benefit is having the opportunity to develop to their fullest, which generally leads to greater job and career satisfaction. A good coach nurtures a positive work environment in which individuals develop high-quality relationships with one another. In fact, people who work in a relationship that has a generally positive emotional tone are more open-minded (Boyatzis, 2007). People are more willing to accept feedback from people who clearly communicate that they want what is holistically best for the person, as well as the organization (Smith, Van Oosten, & Boyatzis, 2009).

Managers also benefit from coaching; working with a more motivated and productive workforce energizes managers, which can result in further improvements to unit performance. In addition, leaders who “coach with compassion” benefit because it reduces their personal level of stress (Boyatzis, Smith, & Blaize, 2006). Finally, coaching benefits the organization because there is better communication among managers and employees, as well as enhanced creativity in decision making and problem solving, which ultimately leads to improved effectiveness and enhanced productivity.

The question then becomes: How do managers develop their skills and abilities as coaches? Gilley and Gilley (2007) identify four roles that coaches play: career advisor, trainer, performance appraiser, and strategist. Interestingly, these four roles bear some similarities to the quadrants of the competing values framework.

Career advising has elements of the collaborate quadrant and focuses on being supportive and helping employees develop their self-awareness. As a trainer, the coach is more directive and takes on responsibilities associated with the control quadrant, focusing on specific information the employee needs to enhance her work performance. The performance appraiser is also directive, and takes on responsibilities associated with the compete quadrant, emphasizing goals and standards as a means to enhance performance results. Finally, the strategist focuses on developing employees using approaches associated with the create quadrant and is skilled at facilitating change.

To develop your capacity as a coach, you should develop your capacity to perform well in each of the quadrants and be flexible enough to switch between roles, depending on the needs of your employees. To better understand the needs of your employees, you especially need to build your capacity to empathize and understand your employees’ perspectives. You also need to gain a strong understanding of their strengths and weaknesses so that you can encourage them to take on new tasks and responsibilities, as appropriate. The next section shows how delegation helps employees take on new tasks and responsibilities.
Mentoring and Developing Others

DEVELOPING EMPLOYEES THROUGH EFFECTIVE DELEGATION

Most often, when organizational researchers examine delegation, they do so from the perspective of how it can help managers use their time more effectively. They note, for example, that managers who learn to delegate effectively provide themselves with additional time and thus are able to focus attention on more significant issues. By delegating tasks, managers can increase efficiency and productivity by ensuring that (1) the work is being done at the appropriate level and managerial time is saved for work that requires managerial attention and (2) employees are not waiting for managers to complete tasks that could be performed by others (Hughes et al., 1999).

Despite the potential benefits of delegation, many managers, especially new managers, resist delegating tasks to employees (Walker, 2002). Why do managers find it difficult to delegate?

First, some managers associate delegation with negative managerial behaviors, such as abdicating responsibility for a task or letting someone else—typically those “lower” in the organization—do the dirty work. Some are concerned that employees will be offended if their manager asks them to take on a task previously performed by the manager.

Second, many managers fear that they will lose control. They are concerned that employees will not do the job as well or exercise the same level of judgment as the manager would if she did the job herself.

Third, many new managers do not fully grasp that they must make a transition from their previous role as contributor to a new role as leader (Hill, 2003; Walker, 2002), and assign tasks.

Finally, and perhaps most important, is the fact that many managers have not learned how to delegate effectively; they have not learned that delegation is more than simply giving assignments to employees and hoping for the best. Rather, it is the entrusting of a particular assignment, project, task, or process by one individual to another (Schwartz, 1992). As such, it requires a good understanding of what can and cannot be delegated, careful attention to employees’ current skill levels, and a good communication process that allows for questions and feedback for both the manager and the employees. It also requires managers to do more than simply tell employees what they want them to do; managers need to share with employees the reasons for the assignment, that is, why the task needs to be done (Klein, 2000).

Navy Commander D. Michael Abrashoff, who commanded the USS Benfold, a ship that is known for getting tough assignments (Abrashoff, 2002), argues that it is important for managers in all situations to communicate purpose. He states, “getting [crew members] to contribute in a meaningful way to each life-or-death mission isn’t just a matter of training and discipline. It’s a matter of knowing who they are and where they are coming from—and linking that knowledge to our purpose” (quoted in LaBarre, 1999).

Delegating tasks and responsibilities to employees is an effective means of developing employees. When managers delegate responsibilities to their employees and give them challenging assignments that push them to go beyond their current level of functioning, they give employees opportunities to develop new skills and abilities. Employees learn more about the work unit and how it functions. These benefits help employees be more effective in their work and strengthen the work unit, thus allowing for a better allocation of organizational resources.

Becoming a more effective delegator requires managers to remember that delegation involves three core elements: responsibility, authority, and accountability.
Before delegating, the manager should be aware that while she is still ultimately responsible for the successful execution of the assignment, project, task, or process, effective delegation involves clarifying the difference between the managers’ and the employees’ responsibilities. In particular, the employee should be responsible for achieving intermediate and specific goals and milestones along the way. Managers should also make sure that those individuals to whom assignments are delegated have sufficient authority to allow them to carry out the task and obtain the resources and cooperation required for its successful completion. Finally, individuals who are delegated assignments should be held accountable for meeting established goals and objectives. While using delegation as a means to develop employees suggests that employees should have a certain level of autonomy, the manager should supervise and monitor as appropriate.

Periodic reports and evaluations may be critical to effective delegation. The following five steps may be useful as you think about how to delegate in a way that also develops employees. You may note that these steps are similar to the four stages of effective performance evaluation systems.

FIVE STEPS TO EFFECTIVE DELEGATION

1. Clarify. In your own mind, decide what it is that you want done and why this is an appropriate assignment for the individual. Make sure that this assignment is at the proper level of difficulty, providing the employee some challenge but not so much that he becomes frustrated with the assignment. Make sure that the employee has time to do the assignment. Also, make sure that the person has appropriate authority to carry out the task and obtain the resources and cooperation required for its successful completion. Think about how you will explain to the employee what is to be done and whether or not this assignment should be considered a high priority, relative to the other work he is doing, as well as why this assignment is important for the work unit. Writing it down can be helpful.

2. Explain. Meet with the employee and discuss the assignment and your expectations. Once you are certain in your own mind about the nature of the task and any expectations you have regarding the outcome, you need to communicate that information to the employee in a clear and specific manner. Make sure the employee understands how the task relates to organizational goals, when the subordinate’s responsibility begins, whether or not this task is a new task or has been performed by others in the past, and what sources of help are available. If the task has been performed by others in the past, provide relevant information about problems that have been encountered. Also discuss how you will supervise and monitor (Hughes et al., 1999). To ensure the task is fully understood and that deadlines and time horizons are clear, ask questions. You might even ask the employee to repeat or feed back his understanding of the delegated assignment.

3. Let Go. Allow the employee to do the task the way she feels comfortable doing it. Show some trust in the employee’s abilities, but make sure the employee feels comfortable coming to you to discuss any concerns the employee has. Make sure the employee is given the authority to complete the task and the appropriate discretion in choosing the manner of completion.

4. Check in. Periodically check on the progress of the assignment, but do not rush to the rescue at the first sign that things may not be on track. Hold the person responsible for the work and any
difficulties that may emerge. Again, make sure the employee knows that he can discuss any concerns with you, but give the employee a chance to try solving the problem on his own. Also keep in mind that the employee may have initially felt that the assignment surpassed his ability, and so may fear being embarrassed by failure but also feel uncomfortable raising this issue. When you show confidence in your employee, the employee will likely gain the self-confidence necessary to solve the problem. You may be able to avoid this problem at the start by explicitly conveying to the employee your level of confidence in his ability to complete the assigned task and asking about any concerns he has.

5. Acknowledge. Recognize the employee’s accomplishments. Acknowledge what has been done, and show appropriate appreciation. Also make sure that the employee recognizes what she has accomplished and how it has contributed to the work unit’s functioning, as well as to her own growth and development.

As noted, we focus on delegation in this module as a means to develop employees. As such, the new responsibility or task should be integrated into the employee’s performance appraisal, discussed earlier in this competency. While focusing here on the employee who is taking on a new assignment, it should also be clear that managers who are effective delegators benefit personally and also provide benefits to the organization. In the exercises that follow, you will have a chance to analyze how a performance evaluation was handled, practice giving feedback as part of a performance evaluation role-play, and think about how the performance evaluation could have been improved. The final exercise asks you to apply what you have learned in the first three competencies in this module when delegating a task to someone else.

**ANALYSIS United Chemical Company**

**Objective**

When faced with our own performance evaluations or those of our subordinates, it is often difficult to separate the people from the issues. The objective of this case analysis and the practice exercise that follows is to give you the opportunity to examine how the principles of supportive communication and reflective listening that you learned about earlier in this module can be applied to a performance review situation that is “neutral” for you so that you can gain a more in-depth understanding of how these techniques can be used in mentoring and developing employees.

**Directions**

Read the case and then answer the questions that follow.

The United Chemical Company is a large producer and distributor of commodity chemicals with five chemical production plants in the United States. The operations at the main plant in Baytown, Texas, include not only production equipment but also the company’s research and engineering center.

The process design group consists of eight male engineers and the manager, Max Kane. The group has worked together steadily for a number of years, and good relationships have developed among all members. When the workload began to increase, Max hired a new design engineer, Sue Davis, a recent master’s degree graduate from one of the foremost engineering schools in the country. Sue was assigned to a project involving expansion of the capacity of one of the existing plant facilities. Three other design engineers were assigned to the project along with Sue: Jack Keller (age 38, with 15 years with the

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As a new employee, Sue was enthusiastic about the opportunity to work at United. She liked her work very much because it was challenging and offered her a chance to apply much of the knowledge she had gained in her university studies. On the job, Sue kept to herself and her design work. Her relations with her fellow project members were friendly, but she did not go out of her way to have informal conversations during or after working hours.

Sue was a diligent employee who took her work seriously. On occasions when a difficult problem arose, she would stay after hours in order to come up with a solution. Because of her persistence, coupled with her more current education, Sue usually completed her portion of the various project stages a number of days before her colleagues. This was somewhat irritating to her, and on these occasions she went to Max to ask for additional work to keep her busy until her fellow workers caught up to her. Initially, she had offered to help Jack, Sam, and Lance with their parts of the project, but each time she was turned down tersely.

About five months after Sue had joined the design group, Jack asked to see Max about a problem the group was having. The conversation between Max and Jack was as follows.

Max: Jack, I understand you wanted to discuss a problem with me.
Jack: Yes, Max. I didn’t want to waste your time, but some of the other design engineers wanted me to discuss Sue with you. She’s irritating everyone with her know-it-all, pompous attitude. She just isn’t the kind of person that we want to work with.
Max: I can’t understand that, Jack. She’s an excellent worker whose design work is always well done and usually flawless. She’s doing everything the company wants her to do.
Jack: The company never asked her to disturb the morale of the group or to tell us how to do our work. The animosity of the group can eventually result in lower-quality work for the whole unit.
Max: I’ll tell you what I’ll do. Sue has a meeting with me next week to discuss her six-month performance. I’ll keep your thoughts in mind, but I can’t promise an improvement in what you and the others believe is a pompous attitude.
Jack: Immediate improvement in her behavior isn’t the problem—it’s her coaching others when she has no right to engage in publicly showing others what to do. You’d think she was lecturing an advanced class in design with all her high-power, useless equations and formulas. She’d better back off soon, or some of us will quit or transfer.

During the next week, Max thought carefully about his meeting with Jack. He knew that Jack was the informal leader of the design engineers and generally spoke for the other group members. On Thursday of the following week, Max called Sue into his office for her midyear review. One portion of the conversation was as follows:

Max: There is one other aspect I’d like to discuss with you about your performance. As I just related to you, your technical performance has been excellent; however, there are some questions about your relationships with the other workers.
Sue: I don’t understand—what questions are you talking about?
Max: Well, to be specific, certain members of the design group have complained about your apparent “know-it-all attitude” and the manner in which you try to tell them how to do their job. You’re going to have to be patient with them and not publicly call them out about their performance. This is a good group of engineers, and their work over the years has been more than acceptable. I don’t want any problems that will cause the group to produce less effectively.
Sue: Let me make a few comments. First of all, I have never publicly criticized their performance to them or to you. Initially, when I was finished ahead of them, I offered to help them with their work but was bluntly told to mind my own business. I took the hint and concentrated only on my part of the work. What you don’t understand is that after five months of working in this group I have come to the conclusion that what is going on is a “rip-off” of the company. The other engineers are “goldbricking” and setting a work pace much slower than they’re capable of. They’re more interested in the music from Sam’s radio, the local football team, and the bar they’re going to go to for TGIF. I’m sorry, but this is just not the way I was raised or trained. And, finally, they’ve never looked on me as a qualified engineer, but as a woman who has broken their professional barrier.

Discussion Questions

Answer the following questions:

1. What are the key problems with this portion of the performance review? What is missing?
2. How would you use the knowledge and skills you have acquired thus far in this module to redesign the meeting between Max and Sue?
3. What concerns, if any, do you have with Max’s conversation with Jack? What might Max have done differently?

Reflection

In describing the objective of this analysis, we wrote that this was a “neutral” situation. We used quotation marks because, in reality, many people tend to identify with the characters in case studies based on their own past experiences and characteristics they might share with these characters. Discussing this case in class can be very productive for surfacing different assumptions that people are making about the characters in the case based on stereotypes rather than based on the limited facts presented in the case.

PRACTICE  What Would You Include in the Performance Evaluation?

Objective

Supportive communication and reflective listening are useful tools during the performance review, but managers need to remember that the performance review is only useful if it is part of a larger performance evaluation process. This exercise gives you an opportunity to think about the role of the performance review in planning the next cycle of performance evaluation.

Directions

Review the guidelines for developing an effective performance evaluation system. Then think about the suggestions you had for redesigning Max’s midyear review of Sue.

1. What elements would you include in a performance review of Sue? What kind of feedback should you give her? What skills will you suggest that she develop? What other issues will you raise?
2. In dyads, role-play the conversation that occurs in Max’s midyear performance evaluation review of Sue.

Discussion Questions

Answer the following questions:

1. During the role-play, how successful were you at conducting a successful performance evaluation? Do you feel that you achieved a successful outcome? Why or why not?
2. Which of the guidelines for giving and receiving feedback did you follow? Which did you forget? What were the outcomes?
3. To what degree did your performance review focus on Sue’s technical skills, and to what degree did it focus on her role as a member of the process design group? To what degree was Max’s role in helping Sue develop as an employee in the process design group part of the performance review?
4. What did you learn from this role-play?
Creating and Sustaining Commitment and Cohesion

Reflection
Evaluating employees’ performance is a complex task that is made more complicated when we see it as having conflicting objectives. We want to motivate our employees by giving them “positive” feedback. On the other hand, we often need to give them “negative” feedback that they may not agree with and will not be happy to hear. Similarly, we want to be supportive and provide employees with the opportunity to raise concerns. However, we also want them to take responsibility for problems or issues that arise. Instead of seeing these as conflicting objectives, emphasizing the goal of employee development helps us transcend this paradox. Employee development focuses our attention less on what has happened in the past and more on what we are working to achieve in the future.

APPLICATION  Developing Your Capacity to Develop Others

Objective
In the introduction to this competency, we noted that while our primary focus is on mentoring and developing employees, there are many other situations where the knowledge and skills presented here can be applied. This exercise gives you an opportunity to develop your capacity to develop others by planning how you would delegate a responsibility to someone else.

Directions
Complete the following steps:
1. Review the guidelines for effective delegation.
2. Identify a task that you currently perform on a regular basis that you would like to be able to delegate to someone else. If you are a manager, think about a task you would like to delegate to an employee. If you are an officer of a club or other organization, think about a task you would like to delegate to one of the other officers or a member of the club or organization. You might even think about a household chore that you would like to delegate to someone else in your household.
3. Complete the first of the “Five Steps to Effective Delegation” by writing a one- to two-page action plan that describes the task and why the person you selected is an appropriate choice. Indicate any concerns you have about delegating this task to this individual.
4. If appropriate, carry out the second step of the delegation process, and describe your interaction with the individual.

Reflection
Managers sometimes resist delegating tasks because it is seen as time-consuming. That is, effective delegation requires managers to carefully consider both the task and the individual to whom the task will be delegated. Time taken in the short run to plan the delegation process, however, should have important payoffs for the employee, the manager, and the organization. In using delegation as a tool for developing employees, it is important for managers to consider how they and the organization will also benefit.

Module 1 Competency 4  Managing Groups and Leading Teams

ASSESSMENT Are You a Team Player? *

Objective
This assessment encourages you to examine your behavior as a team member in organizational settings.

Directions
For each pair of items listed in the figure below, place a check mark in the column that best identifies how you behave in a working group at school, in student or community groups, or on your job.

*Adapted from training material for Income Maintenance Supervisors, Special Topics Workshop: “Motivation, Teambuilding, and Enhancing Morale,” Professional Development Program, Rockefeller College of Public Affairs and Policy, State University of New York at Albany. Used with permission.
### Discussion Questions

Answer the following questions individually or in a group:

1. In what ways do these team behaviors agree with your concept of team membership? How do they differ?
2. What strengths do you think you have when working on a team? Weaknesses?

3. Are there times when you have performed more effectively as a team member? Alternatively, have there been times when you did not fully contribute as a team member? If so, what events or circumstances made you behave differently in these different situations?

4. In thinking about your past experiences working in groups, do you think that the people who have worked with you in the past see you as you see yourself? If not, what grounds and warrants would they use to contradict your claims?

Reflection

Two points should be made about this assessment exercise. First, it is not difficult to see that the items on the left are more reflective of team-oriented behaviors than the items on the right. As a result, there is some concern that responses may reflect social desirability bias—the tendency some people have to respond to questions based on what they think the “right” answer is, rather than based on their actual opinions or behaviors. Asking respondents to think about the grounds and warrants that they would use to justify their responses may help increase the accuracy of their responses.

A second important point to recognize is that these assessments are intended as a starting point, rather than an end point. If you are honest with yourself and your assessment suggests that you are not a team player, you should not assume that you are doomed to fail in a team-based organization! It simply means that you may need to focus more attention on developing certain team skills such as trusting others and dealing with differences in a team setting. Remember, there is nothing to lose by being honest with yourself in an assessment exercise. This is your chance to get personal feedback, which can direct you toward new areas of personal growth and development.

LEARNING  Managing Groups and Leading Teams

A team is a group of people who are interdependent with respect to information, resources, and skills and who seek to combine their efforts to achieve a common goal. (Thompson, 2000, p. 2)

In the 1980s, organizations in the United States began to embrace the idea that teams are a more effective way to organize (Parker, 2008; Thompson, 2000). While some saw teams as a passing fad, others recognized the value of teams and advocated for their use. For some, the main benefit was increasing workplace democracy and giving employees the opportunity to have input into decisions that affect their lives (Weisbord, 1987). Others focused on gaining a competitive advantage by involving employees who were closer to the actual work and had more knowledge and understanding of the issues affecting decisions that needed to be made (Lawler, 1992). Regardless of the rationale used, and because of global competition, changes in workplace technology, and other external pressures, organizations in the public, private, and nonprofit sectors began to experiment with a variety of team-based arrangements in the 1980s and 1990s. Today the idea of using teams is well established, even as the ways that we think about teams continues to evolve.

One way to examine team effectiveness is to look at structural criteria, the way the group is organized or functions. In addition, we can look at how members feel toward and relate to one another within the team, what is called affective criteria.

For example, we might consider the degree to which people in the group feel like they have to depend on one another. Groups are generally defined as two or more individuals
who interact to fulfill a common goal (Bowditch, Buono, & Stewart, 2008). A group becomes a team when its members not only share a common goal, but also have to work together interdependently. “A team is a group of people who are interdependent with respect to information, resources, and skills and who seek to combine their efforts to achieve a common goal” (Thompson, 2000, p. 2). This definition, which recognizes that not all work groups are teams, focuses more on the structural, rather than the affective, nature of teams.

Nevertheless, effective teams also develop a way of interacting that leads team members to feel a sense of “team spirit.” Team members develop a shared sense of mutual accountability, and they feel connected with one another. Each individual who works (or plays) on a team sees how she contributes to the common goal and is willing both to express opinions and to listen to others’ ideas, with the expectation that civilized disagreement will lead to the best decision (Parker, 2008). When people talk about teams in this way, they often discuss the synergy that is created when the individuals interact—that is, the sense that the whole is greater than the sum of the parts.

From a practical perspective, many organizations define teams in terms of structural criteria. A strictly structural perspective on teams often differentiates among different types of teams based on how much autonomy and control team members are granted in carrying out their work (Thompson, 2000) and the scope and timing of the work. Some common types of teams include:

- **Traditional manager-led teams**—members have no little or no input in deciding the team’s goals, but may be involved in deciding how the work will be carried out.
- **Self-managed teams** (aka self-directed or empowered teams)—members are responsible for many tasks that are traditionally held by supervisors or managers, including planning, scheduling, and performance evaluation.
- **Cross-functional teams**—members include individuals from several different work units who come together to serve as a cross-functional team (Parker, 2003).
- **Virtual teams**—members interact through computing technology rather than meeting regularly on a face-to-face basis.
- **Task forces** or ad hoc teams—members work together on a relatively short-term project.
- **Permanent teams**—members work together on ongoing operational activities, and teams are a formal element of the organization’s design.

Note that these types of teams are not all mutually exclusive. A cross-functional team can be self-managed or may use a more traditional style, manager-led structure. Task forces can be cross-functional teams and can operate virtually.

This section begins with a framework for understanding the types of factors that influence group and team effectiveness. Since effective teams typically develop a way of interacting that leads team members to feel a sense of team spirit, we next discuss what managers can do to build and maintain team spirit. We then identify potential positive and negative consequences of using teams to make decisions. Following that, we consider the topic of member roles. This competency concludes with a discussion of some ways to enhance group and team performance, including increasing the effectiveness of meetings and using techniques to facilitate the process of team development.
WHAT INFLUENCES TEAM EFFECTIVENESS?

ELEMENTS OF TEAM EFFECTIVENESS

In trying to determine how to improve group and team effectiveness, we can start by looking at the inputs, processes, and outcomes of team interactions (Mathieu, Maynard, Rapp, & Gilson, 2008).

Typically, outcomes include task performance and team member satisfaction. That is, managers want to know whether or not the group or team has been able to accomplish its goal (what was done) and whether members were satisfied with the group process (how it was done). Team learning is another outcome that goes beyond whether or not the group or team has accomplished its goal, and considers whether the team gained a better understanding of the problem and/or developed an ability to improve its task performance (Edmondson, Dillon, & Roloff, 2007).

Inputs involve an array of factors including individual team member characteristics (e.g., individual competencies and personalities), team-level factors (e.g., team size, team composition, task structure, and leadership structure), and contextual factors, which may be internal to the organization (e.g., organizational culture, reward systems, and information and communication technologies) or external to the organization (e.g., national culture, economic environment, and laws and regulations). An individual’s team competencies and characteristics are embedded within the team-level factors, which are in turn embedded within the contextual factors (Mathieu et al., 2008). Although members do have influence on team-level factors, which then influence contextual factors, these influences are not as strong as the influences in the other direction.

In the Assessment exercise, you rated yourself along a variety of individual-level inputs, such as whether or not you tend to trust others in the group, the degree to which you are open to or avoid new ideas, and whether you share leadership with others or try to maintain control of the group. Inputs such as these create conditions for potential effectiveness. Whether or not the group reaches its potential depends on group processes, or how team members interact.

Sometimes there is conflict in groups, which may reduce group members’ willingness to trust others and to participate fully. Other times individuals may not believe that their effort makes a difference (leading to social loafing) or may actively believe that no one will notice if they slack off (leading to free-riding). Such situations are referred to as process losses because they detract from the teams’ performance (Brown, 2000).

As noted previously, there are also times when individuals are open to learning from others and may even be inspired by other team members’ actions. In these situations, team members trust each other and are willing to exert great amounts of effort because they see themselves as working toward a common goal and so identify with the team. The team enjoys process gains; that is, total team performance exceeds what individuals would have been able to accomplish if they were acting individually (Brown, 2000).

In deciding whether or not to bring individuals together to solve a problem or make a decision, managerial leaders need to consider both the potential advantages and disadvantages of team decision making, as well as the likelihood that the inputs (team members, organizational context, and environmental context) can be brought together and structured (processes) in a way that is more likely to lead to process gains than process losses.
DECISION MAKING IN TEAMS

The way a team makes decisions is another aspect of team effectiveness. Effective teams make decisions in a way that matches the situation with the need for participation. A general principle is that people tend to support the decisions that they had some part in making. Yet high participation is not necessary in every situation.

A common decision-making framework distinguishes between different levels of team participation and decision-making authority as identified through three general models (Vroom & Jago, 1974; Vroom & Yetton, 1973).

- **True consensus decision making** reflects the highest level of member participation and team authority. This decision process will usually achieve the greatest degree of support from team members.

- **Consultative decision making** includes a high level of participation by team members, but the manager maintains authority and makes the final decision. Team members are more likely to support a decision when they feel their voices have been heard, even if the decision does not align with their opinions.

- **Autocratic decision making** occurs when a manager makes the decision without any input from the team. In this approach, team members will generally support the decision if they trust the leader.

Questions a manager should consider when choosing the most appropriate decision-making approach include the following:

- **How important is the quality of the decision?** If the decision has high importance, particularly if it will affect people in a significant way, it is generally better to opt for more rather than less participation in the decision-making process.

- **Do I have the necessary expertise to make the decision?** As a leader, if you do not have expertise to make the decision, you should involve other people who do have expertise. Otherwise, you are more likely to make a decision that will result in poor outcomes or consequences.

- **Is the team’s acceptance and commitment to the decision necessary for the decision to be implemented?** Some decisions do not require acceptance and commitment. But if they do, then at least some participation from the team members in the decision-making process is essential.

- **How much time is available to make the decision?** Participation takes time. If the urgency of a situation limits the time available for deliberation, then participation may not be an option.

Participation alone does not ensure a high-quality decision as an outcome. Rather, the effectiveness of participation is critical. Effective teams know how to maximize the strengths of members. They enable team members to understand and fulfill their roles, and they create a team environment that values the voice of each person in the team.

The following lists highlight the potential advantages and disadvantages of team decision making and the conditions that lead to positive and negative outcomes when using team decision making.

**ADVANTAGES OF TEAM DECISION MAKING**

Involving more individuals in the decision-making process has a number of advantages and often (but not always) leads to better decisions.
1. **Multiple perspectives.** Including stakeholders with different values, concerns, and perspectives increases the likelihood that important issues affecting (and affected by) the decision will surface. Increasingly, we are aware that neither the labor force nor the marketplace is homogeneous in background, values, or needs. Reflecting the customer profile in the decision-making group can be a competitive advantage (Cox, 1993; Loden & Rosener, 1991).

2. **Knowledge and expertise.** Each team member brings unique knowledge and expertise to the decision-making process. Employees are often able to identify potential obstacles to implementing the decision as well as ways to avoid them. Kathleen Rhodes, a technical manager at US West (now CenturyLink), says, “People who work in the front row for long enough can do it all because they’ve seen it all” (quoted in Lieber, 1999).

3. **Commitment.** Employees who contribute to the decision-making process tend to have a greater commitment to implementing a decision because they understand how and why it was made.

4. **Skill development.** Employees develop their skills and abilities when they participate in decision-making teams.

**DISADVANTAGES OF TEAM DECISION MAKING**

Although the following disadvantages are common, they can be mitigated or avoided by carefully defining the team’s goal, selecting the right members, and using appropriate structures, group process techniques, and controls.

1. **Time.** As a general rule, increasing the number of people involved increases the time it takes to reach a decision.

2. **Inappropriate expertise.** If members are selected without giving much thought to what they can contribute rather than based on expertise, low-quality decisions can result.

3. **Ineffective team meetings.** Meetings that are not well structured waste time and may alienate members. If improperly managed, individuals with the appropriate expertise may fail to contribute to the discussion, whereas those with little or no knowledge may dominate the discussion.

4. **Groupthink.** When team members are highly cohesive, they may also become overly concerned with gaining consensus to avoid damaging their relationship with the group. This is a phenomenon known as groupthink (Janis, 1972). When groupthink occurs, team members avoid being critical of others’ ideas and so cease to think objectively about the decision at hand or critically evaluate options.

**ROLES OF TEAM MEMBERS**

One factor that is consistently identified as an important characteristic of effective teams is that team members have specific, and sometimes very specialized, roles (Katzenbach & Smith, 1993). A **role** is a set of expectations held by the individual and relevant others about how that individual should act in a given situation. For example, in basketball, the point guard is
expected to bring the ball down the court and set up the play; the center is expected to get under the basket and to rebound.

In the workplace, an employee’s role is defined by the specific tasks he or she is expected to perform. For example, in a factory, production managers, machine operatives, and repair persons each play complementary roles that are directly related to the output of the operation. Other functions may play supporting roles: health and personnel specialists, accountants and financial managers, maintenance staff, secretaries, and office clerks. Individuals in each of these positions have a specialized role that helps the organization fulfill its purpose.

When organizing a team, one needs to consider that team members often perform somewhat different roles on the team. If you are in a position to influence who will join a team, you should think about the specific competencies, both technical and interpersonal, that people can bring to the group. Technical competencies refer to substantive knowledge, skills, and abilities needed to complete a task. Interpersonal competencies refer to more personal qualities, skills, and abilities that help the members work together. Some organizations, such as Context Integration, have developed web-based knowledge-management systems to help employees identify who can be a resource for solving specific technical problems (Salter, 1999).

In addition to the specific or unique competencies that can be used to select team members, team leaders might also consider general characteristics that all team members should possess. At the Mayo Clinic, for example, teams are composed of specialists who know why they are there and what to do, but all team members are guided by the motto “The best interest of the patient is the only interest to be considered” (Roberts, 1999, p. 156). Each team is assembled and disassembled to achieve this goal, and doctors are paid a set salary to avoid incentives or penalties for referrals or consulting with colleagues. Such an example suggests that whether we focus on technical or personal competencies or unique abilities or general characteristics everyone on the team should possess, one of the important responsibilities of the manager is to provide role clarity for her employees—to make clear what is expected of each individual performing on the team.

**ROLE CLARITY**

Role clarity implies the absence of two stressful conditions: role ambiguity and role conflict. Role ambiguity occurs when an individual does not have enough information about what he should be doing, what are appropriate ways of interacting with others, or what are appropriate behaviors and attitudes. Consider the following story about four people: Everybody, Somebody, Anybody, and Nobody.

There was an important job to be done and Everybody was asked to do it. Anybody could have done it, but Nobody did it. Somebody got angry about that because it was Everybody’s job. Everybody thought Anybody could do it, but Nobody realized that Everybody wouldn’t do it. It ended up that Everybody blamed Somebody when actually Nobody asked Anybody.

New employees, who are not familiar with the work unit’s norms and procedures, will likely experience role ambiguity if their manager does not clarify for them what is expected in their job. New managers, making the transition from worker to manager, also often experience role ambiguity because their role expectations have changed (Hill, 2003).
Role conflict occurs when an individual perceives information regarding her job to be inconsistent or contradictory. For example, if manager X tells employee Y to perform task A, and then manager X’s boss tells employee Y to stop what she is doing and to perform task B, the employee is likely to experience role conflict. Role conflict can also occur when an individual’s own morals and values conflict with the organization’s mission or policies and procedures. For example, an environmentally minded advertising executive might find it difficult to accept a contract with a company that produces toxic or nuclear wastes as a side effect of its primary production of goods (Katz & Kahn, 1978).

Team-building efforts that focus on clarifying roles help everyone in the work unit or work team understand what others expect. Later in this section, we will discuss how team-building techniques can help clarify roles. First, however, we discuss four roles that employees play in teams, each of which can facilitate or hinder team effectiveness.

FOUR TEAM PLAYER STYLES

Often, when people talk about the roles people play in groups and teams, they differentiate between task roles and group maintenance roles (Benne & Sheats, 1948; Dyer, 1995). In a task role, one’s behaviors are focused on what the team is to accomplish. Performing in a task role is sometimes referred to as having a task orientation, or being task oriented. In a group maintenance role, one’s behaviors are focused on how the team will accomplish its task. Performing in a group maintenance role is sometimes referred to as having a group maintenance, or process, orientation, or being process oriented. Because many maintenance activities focus on the team members and how they interact, some texts refer to people in those roles as being relationship oriented.

More recently, Parker (2008) has proposed four roles, or team player styles: the communicator, the contributor, the collaborator, and the challenger. Most often, people are most comfortable with one or two of these roles and will tend to emphasize the behaviors associated with these roles during team meetings. As team members take on these different roles, however, they can play the roles in a positive way that aids team effectiveness or in a negative way that hinders team effectiveness. Although Parker uses somewhat different terms from those in this book, these four roles match closely to the four quadrants of the competing values framework.

Communicator Role. According to Parker, “The Communicator gives primary emphasis to team process . . . [and] believes there is an interpersonal ‘glue’ that must be present for the team to be effective” (p. 85). When working on a team, the communicator displays many of the competencies associated with the Collaborate (human relations) quadrant such as listening carefully to concerns of team members, providing feedback to team members, and helping resolve conflicts as they arise.

Contributor Role. The Contributor is focused on problem solving and decision making and “sees his or her role as providing the group with the best possible information . . . freely offering all the relevant knowledge, skills, and data they possess” (p. 73). When working on a team, the contributor displays many of the competencies associated with the Control (internal process) quadrant such as setting high standards and insisting on high-quality outputs, ensuring that tasks are appropriately distributed across team members, and providing technical training for other team members.
Collaborator Role. The Collaborator is “goal directed . . . [and] sees the vision, goal, or current task as paramount in all interactions” (p. 79). When working on a team, the collaborator displays many of the competencies associated with the Compete (rational goal) quadrant such as establishing long-term goals, working hard to achieve those goals, and helping team members see how the immediate tasks fit into the long-term goals.

Challenger Role. Finally, the Challenger is courageous and willing to question the status quo, even if it means challenging the team’s leader. Challengers will also “push the team to be more creative in their problem solving” (p. 96). They are also highly ethical and expect team members to talk openly about team problems. When working on a team, the challenger displays many of the competencies associated with the Create (open systems) quadrant, such as encouraging team members to be innovative and to try new approaches, challenging the team to take on well-conceived risks, and insisting on high ethical standards.

While it is expected that different people on a team will take on different roles, it is also important that individuals not overplay a role. Indeed, Parker argues that when any particular role is overplayed, the behaviors can have a negative effect on the team. Parker’s description of the consequences of overplaying each role mirrors our discussion of the negative zones of the competing values framework that you will see in the concluding chapter of this text. For example, individuals who overplay the communicator role (collaborate in the CVF) may focus too much on creating harmony and cohesion in the team, and so avoid focusing on the task or, in an attempt to avoid conflict, fail to challenge or confront other team members, even when they believe the other team members are not contributing to the team in a positive way. Individuals who overplay the contributor role (control in the CVF) may focus too much on providing data and technical information and thus may lose sight of overarching team goals or advocate for unrealistic performance standards. Individuals who overplay the collaborator role (compete in the CVF) may be so focused on meeting long-term goals that they become insensitive to individuals’ concerns and stop encouraging active participation by all team members. In addition, they may be so focused on achieving goals that, even when environmental conditions change, they do not take the time to question whether missions and goals developed at a prior time are still relevant. Finally, individuals who overplay the challenger role (create in the CVF) may focus too much on change and innovation, and may suggest that the team take risks that are not appropriate for the team, or they may present ethical issues to the team in a way that alienates others, who see them as self-righteous.

As a manager, it is your job to ensure that the behaviors associated with each of these roles are valued in the team and that no one role is overplayed in team meetings. Two ways to accomplish this are to carefully structure team meetings and to engage in team-building activities. The next two sections provide some suggestions to help you become more effective with each of these activities.

INCREASING MEETING EFFECTIVENESS

Meetings are a necessary part of life in a team. Effective teams use their meetings to nurture connections among members and to accomplish their tasks with appropriate levels of input, coordination, and participation. They also meet frequently enough to stay connected and on
Creating and Sustaining Commitment and Cohesion

task, but not so frequently that they are wasting time. The way a team facilitates and manages meetings is critical to success.

Most of us have had experiences in both poorly facilitated and effectively facilitated meetings. What characteristics differentiate good meetings from bad meetings? First, good meetings accomplish the desired task. Second, in good meetings, there is appropriate input from group members, and everyone feels that he contributes in an important way. Third, in trying to make decisions, people feel that they have the necessary information to make decisions that need to be made. Finally, in good meetings, individuals feel safe to challenge others’ ideas, and do so in a respectful way. Note the similarity of these characteristics to the four roles discussed in the previous section.

The following guidelines outline how to facilitate an effective meeting. Note that the guidelines focus on preparing for the meeting, running the meeting, and following up on the meeting. (For more detailed suggestions, see Tropman, 1996.)

PREPARING FOR THE MEETING

1. Set objectives for the meeting. If you are not clear about the purpose of the meeting, it is unlikely that you will feel that you have accomplished something at the end of the meeting.

2. Select appropriate participants for the meeting. Invite individuals who are affected by, or have an important stake in, the outcome of the decision. Where appropriate, choose participants with the intent of maximizing diversity in terms of knowledge and perspectives.

3. Select an appropriate time and place to meet. Choosing the appropriate time depends on individuals’ work schedules, the amount of time required for the meeting, and what time of day is most appropriate: the fresh early morning or the work-focused end of day. Choosing an appropriate location depends on how large the group is, whether you will need special equipment (such as a whiteboard, computer projection screen, DVD player, or video conference equipment), and how much privacy or formality is necessary. Holding a meeting in your office will carry a very different message to your employees from holding the meeting in a conference room.

4. Prepare and distribute an agenda in advance. Like setting the objectives for the meeting, preparing and distributing an agenda in advance increases the likelihood of accomplishing the objectives of the meeting. Include the time and place of the meeting and an estimated time for dealing with each major item on the agenda. Sequence the items so that there is some logic to the flow of topics. This gives participants a better sense of direction for the meeting. It also allows individuals to gather whatever information or resources they may feel will be important for the meeting.

RUNNING THE MEETING

1. Start on time. Starting on time allows for the best use of everyone’s time.

2. Make sure that participants know each other. The atmosphere in the meeting will be much more pleasant when people know the others with whom they are meeting.

3. Designate someone to take notes. Having a record of what decisions were made or were tabled (i.e., temporarily deferred) helps ensure that future meetings do not get bogged
down in repeating discussions from prior meetings. Minutes are especially valuable to keep everyone informed in case someone has to be absent from a meeting.

4. **Preview the agenda** and check in with participants. Give participants an opportunity to suggest necessary adjustments to the agenda. Previewing and checking in provides a sense of direction for the meeting, and increases the likelihood that the necessary tasks will be accomplished with appropriate levels of participation.

5. **Follow the agenda.** Pace the meeting. Make sure that each topic is carefully discussed; individuals should not go off on tangents or take the focus away from the item at hand.

6. **During the meeting, minimize (or eliminate) interruptions and distractions.** Show respect to others in the meeting and expect respect from them. No one should be checking messages, texting, surfing the Internet, or taking phone calls during the meeting. Treating your employees and peers as you would a customer demonstrates that you value their input.

7. **Encourage participation by all.** Remember, you selected the participants because you felt they had something to contribute to the decision. If some individuals dominate the discussion, politely ask them to give others an opportunity to contribute. If some are reticent to contribute, try to ask for their opinions or suggestions without embarrassing them.

8. **Conclude the meeting by reviewing or restating any decisions reached and assignments made.** To ensure agreement and to reinforce decisions, it is helpful to review or restate all decisions at the conclusion of the meeting. Clarification of decisions and assignments will increase the likelihood that the next meeting will be productive. You may also want to schedule the next meeting at this time.

**FOLLOWING UP ON THE MEETING**

1. **Distribute notes in a timely manner.** This reminds people (or informs them, if they were unable to attend the meeting) of what happened in the meeting and what the group accomplished, as well as what their responsibilities are for the next meeting.

2. **If individuals have been given assignments, periodically check on their progress.** It is best not to wait until the next meeting to find out that someone has been delayed in completing an assignment.

**STAGES OF DEVELOPMENT, TEAM BUILDING, AND TEAM SCAFFOLDS**

Past research on work teams has been based on the belief that when a new work group forms, or an established work group undertakes a new task or problem, the group needs to be designed, staffed, structured, and trained before it can transform into a high-performance team (Sundstrom, 1999). Thus, a great deal of attention has been paid to understanding how teams develop over time and ways to improve the team development process. Recent research on the concept of team scaffolds, however, suggests that it is possible to have “effective teaming in the absence of stable teams” (Valentine & Edmondson, 2012, p. 4). We consider each of these two approaches to improving team performance in turn.
STAGES OF TEAM DEVELOPMENT

Researchers and practitioners have benefited from Tuckman’s (1965) stage model of team development for nearly five decades. The original four stages—forming, storming, norming, and performing—have been expanded to include a final stage, adjourning. Research also has shown that teams do not pass through these stages in a strictly linear way: Often, when new members are added or when a new task is assigned, the team goes back to a previous stage of development (Mathieu et al., 2008). Still, this model provides a solid foundation for understanding how teams operate. In the following description of the stages, we show how each of Parker’s (2008) four team player styles (described earlier) contribute in each stage of the team development process.

In the forming stage, members are chosen, the goals for the team are established, and the task is defined. Individuals chosen for the team seek to understand the team’s purpose and how they can contribute. At this first stage, people in the communicator role help create a climate where people feel comfortable sharing ideas and feelings. Contributors focus on what tasks need to be done and how each person can contribute. Collaborators help ensure that everyone understands the team’s overall mission and how it fits into the organizational mission. Challengers work to ensure that all team members are comfortable with the team’s mission and what is expected of the team.

In the next stage, storming, there is generally conflict as each team member learns more about the task and interdependencies are tested. Because teams often are brought together specifically to reflect different types of expertise and/or different backgrounds, conflict may result as team members try to decide how to approach the task. As a result, this stage often feels unproductive, but failing to work through these types of issues can result in more serious problems in the future. To benefit from the conflicts that arise during this stage, the communicator can listen carefully to team members’ concerns and work to resolve the conflicts. Contributors can try to help people identify what data and information will help them perform the task. Collaborators might help keep people focused on the mission and might even suggest revising the goals, depending on team members’ concerns. And challengers can suggest innovative approaches for performing the task, and may wish to avoid continuing to challenge the team if it appears that the team has reached consensus. (More details on managing and encouraging constructive conflict are provided in the next competency.)

When teams enter the norming stage, team members begin to set norms (ground rules) for working together. It is in this stage that cohesion begins to develop, but the value of differences in individuals’ expertise and backgrounds should not be lost. At this stage, it is important that communicators remind team members that disagreements are acceptable and that “getting along” does not mean that everyone must “go along.” Druskat and Wolff (2001) argue that, like individuals, groups can build their emotional intelligence. To do so, communicators can encourage team members to provide each other appropriate feedback, which can help build the team’s emotional intelligence. Contributors should help the group think about setting priorities and ensuring that everyone knows who is responsible for which tasks. Collaborators can help ensure that tasks are aligned with the team’s and the organization’s greater mission. Finally, challengers should continue to ask questions and make sure that the ground rules are not arbitrary, that they work for the team.

The team’s most productive stage, performing, occurs when there is general agreement on both the goals and the process (how the team should work to achieve its goals). During
this stage, the communicator can make sure that positive accomplishments are celebrated. Contributors can remind team members of the standards it has set and can focus on whether the team has the necessary resources, human and otherwise, to continue performing in a positive manner. Collaborators can suggest that the team revisit its goals, based on what it has accomplished, possibly identifying new tasks that are aligned with the team’s mission. Challengers can help ensure that the team is aware of external changes and adapting, as needed, as well as ensure that different opinions and perspectives are voiced.

In the final stage, adjourning, the best outcome is to have all members leave with a sense of accomplishment, positive feelings toward the team, and new knowledge that they can use and share as a result of their experience. This can be an emotional period, and communicators play an important role in making sure that everyone’s contributions have been appropriately recognized. Contributors can ensure that final products are appropriately documented. Collaborators can encourage team members to stay focused on the team’s task until it is clear the goal has been accomplished and help individuals see their contributions in the larger organizational context. Challengers can encourage team members to review the final product and make sure it is of the necessary quality.

In reviewing these stages of team development, one can see how the role that the team leader plays in helping the team develop is both critical and paradoxical. On the one hand, the team leader sets the climate and must be seen as someone with a strong personal vision. On the other hand, the leader must clearly demonstrate a belief in the team’s purpose and in the notion that each person’s contribution to the team is equally valuable. Thus, team leaders must simultaneously lead and give team members the opportunity to take a leadership role, suggest directions and listen to others’ suggestions, and be appropriately involved in the day-to-day work while not micromanaging. In addition, team leaders must find ways to value differences and reward successes, while never allowing some individuals to shine at the expense of the other team members. In the next section, we suggest some formal approaches to team building that can help increase team effectiveness.

**TEAM BUILDING**

As noted earlier, even when a team reaches the performing stage of its development, it will likely cycle back through the earlier stages when it encounters new challenges. For example, group members may leave, new people may join the group, tasks and goals may be revised, new tasks and responsibilities may be added, and changes may occur in the group’s external environment. These are often times when it is important to “stop the action” and involve the group in formal team-building activities.

You may have heard the expression “When you are up to your hips in alligators, you forget that you came to drain the swamp.” Sometimes it is important to step out of the swamp and think about what you are doing. Formal team-building activities allow the group to put aside the work of the day, evaluate how well the group is performing as a team, and make any necessary changes. Two points are important here. First, team-building activities should not be seen as isolated experiences or events. Rather, they should be part of an integrated approach to team building that involves regularly scheduled sessions to allow the team to address whatever issues it is currently facing (Dyer, 1995). Second, team members should understand that team building is not about getting people to like each other. As Dyer (1995) notes, “The fundamental emotional condition in a team is not liking but trusting. People do not need to
like one another as friends to be able to work together, but they do need to trust one another” (p. 53, emphasis added). They need to trust that other team members are equally invested in accomplishing the team’s goals; they need to trust that other team members will share information appropriately; and they need to trust that other team members will be willing to work out disagreements in a professional manner. At Whole Foods Market, a natural foods grocery chain, teams have clear performance goals and meet at least once a month to share information and solve problems (Fishman, 1996).

Interim Performance Reviews. A fairly simple, but effective, team-building technique involves setting aside a day or two, away from the worksite if possible, to examine three questions: (1) What do we do well? (2) What areas need improvement? (3) What are the barriers to improvement? Starting with an examination of what the team does well reminds the group that while there may be some problems or issues to deal with, the team also has strengths upon which to build. This establishes a positive climate for the team-building session and gets people involved in the discussion. Depending on how much time there is between team-building sessions, the list of areas for improvement may be short or long. This is a good reason to schedule regular team-building sessions. If the list is too long, the team may need to set priorities regarding which issues should be handled first. The last question reminds the team that team building is more than short-term problem solving. It involves taking a larger look at the system and examining specific problems to determine whether they are isolated events or the result of an underlying structural issue. If there is an underlying structural issue, it will likely need to be dealt with before the improvement can be made. The final team product of such a session should be an action plan to deal with whatever problems or issues are raised in the session. The action plan should include a statement of objectives (what the team wants to accomplish with this improvement effort), a time frame for addressing the issue, and a clear assignment of who is responsible for organizing the improvement effort (remember Anybody, Everybody, Nobody, and Somebody!).

Role Clarification Sessions. As mentioned earlier, one key to effective team functioning is having each team member know her role and how that role fits into the larger team effort. Several techniques are available. Searce (2007) suggests a variety of techniques to help teams clarify role expectations. She suggests that team members meet every few months to review their roles and give others feedback. At such a session, each team member has the opportunity to share what he likes best about his job, what he likes least, and what might help the individual perform better in his role. In addition to sharing this information with others, each person works with a partner to receive feedback on what he has done well, how the other person can help the focal individual perform more effectively, and one or more ideas the individual has about that role.

Whether focused on how the team as a whole can improve or on how individual team members can be more effective in their roles, team-building activities provide the team with a chance to “step out of the swamp” and look at the big picture. In addition, such activities can give team members an opportunity for informal interactions. When individuals have a chance to get to know one another, there is greater potential for building trust among team members.

Unfortunately, some work situations provide team members little time to develop trusting interpersonal relationships before they must respond to the demands of their jobs.
Fortunately, recent research suggests another way to achieve high levels of team performance in such fast-paced environments.

**TEAM SCAFFOLDS**

After observing that more organizations were operating in fast-paced, 24/7 environments that depended on staggered staffing for flexibility, researchers Melissa Valentine and Amy Edmondson of Harvard University sought to understand how high performance could be achieved when the stable membership, which is often thought of as a key ingredient for effective teams, was missing.

Their study of a hospital emergency department provided support for the use of “team scaffolds,” a new way of thinking about teams that helps resolve the simultaneous need for flexibility and stability.

A team scaffold is a virtual structure that—unlike stable work teams—is constructed and maintained independent of its occupants. A team scaffold is defined as a role set with collective responsibility for accomplishing interdependent tasks. (Valentine & Edmondson, 2012, p. 4)

In defining the team scaffold concept, the authors note that it needs to include a mechanism for signaling who is part of the role set at a particular time and clearly assigning collective responsibility for a team task to the role set. Different methods for identifying who is part of the role set might include the use of (1) a specific physical location, (2) a technology-mediated communication system that can be specified for use by members (e.g., common radio frequency or chat room), (3) a uniform or piece of clothing signaling membership, or (4) a verbal identification of members and tasks.

The researchers note that their team scaffold concept is intended to complement, rather than replace, traditional concepts of what constitutes a well-designed, stable team. But when it is not possible to use more traditional teams, team scaffolds provide the structure needed to help an ever-changing mix of individuals achieve the goals associated with a specific task.

The following exercises will give you an opportunity to apply the team concepts we have covered to enhance your ability to manage groups and lead teams.

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**ANALYSIS Stay-Alive Inc.*

**Objective** Effective managers need to master team-building techniques not only when they are creating a new team, but also when they begin working with an existing team. The objective of this case analysis is to give you an opportunity to identify ways in which the members of Stay-Alive Inc. applied (or failed to apply) key principles concerning effective team building.

**Directions** Read the case study and respond to the questions that follow.

Stay-Alive Inc., a small not-for-profit social service agency, hired Jean Smith to design, implement, and coordinate halfway house living programs for young adults.

When Jean arrived, the agency had an informal organization with little hierarchical structure and extensive participative decision making. The prevailing ideology that shaped virtually all decisions and interpersonal relationships was that a democratic system would be most effective and would lead to a higher level of job satisfaction for workers than would a more rigid hierarchical structure. The staff members attended at least five meetings weekly. Incredibly, the group devoted the majority of time at each one to exploring interpersonal problems.

Most staff members were young and had recently finished college. They often remarked that they sought a place to belong and feel accepted. Stay-Alive met that need in many ways: The group acted as a surrogate family for many employees. Even their life outside of work revolved heavily around activities with other Stay-Alive members. Salaries were low, and so the agency hired inexperienced people. Although the employees were bright, enthusiastic, and motivated, some were just beginning to develop the skills needed for effective performance in their jobs. Organizational leaders, therefore, defined success on the job primarily in terms of the employees’ ability to relate well to others at work and only secondarily in terms of their ability to work with clients.

Within three months of her arrival, Jean submitted her plan for implementing the program. Her manager praised it, calling it a remarkable piece of work. Soon after the program was implemented, however, it became clear that it was not working. Still, the agency members responded by patting her on the back and telling her what a great job she was doing. Jean soon became frustrated and angry and left the agency.

Discussion Questions

1. Is Stay-Alive Inc. an effective team? Why or why not?
2. How were the various team behaviors performed in this agency? What roles do you think have been considered the most important in the past? What roles do you think have been neglected?
3. Rather than leaving, how might Jean have helped Stay-Alive become a more effective organization?
4. What other suggestions would you give to the management team at Stay-Alive to help them improve?
5. If you were the director of Stay-Alive, what issues would you want to see addressed in a team-building session?

Reflection

Of all the people involved in the Stay-Alive case, it is possible that only Jean viewed the problems with the program implementation as a “failure.” Look back at the scenario. What evidence is there to suggest that the members of the organization were really interested in making changes to the organization? As we shall see in the last module, which focuses on promoting change and encouraging adaptability, implementing and sustaining change in an organization can be extremely challenging, especially when the existing organizational culture is entrenched.

PRACTICE Ethics Task Force

Objective

When a group is given an assignment, the members often have a tendency to jump directly into trying to perform the task, rather than spending time in the forming, storming, and norming stages described earlier. What may appear at first to be a way to save time, however, often turns out to result in a much less efficient process. This exercise gives you a chance to practice the activities described in the first three stages of the team development model. It also encourages you to practice your meeting skills, as well as observe how others behave in meetings. As with any meeting, you will find it helpful if someone is responsible for taking notes to provide accurate information for the discussion about what took place during the meeting.
Managing Groups and Leading Teams

Directions

The class will be divided into several small groups to consider an organizational dilemma. In your meeting to discuss the dilemma, think about which participative decision-making skills you can practice.

Scenario

You are members of a task force that has been called in to discuss and make suggestions for policies and procedures to deal with the use of work time and computers for personal business. Recently, some employees have reported to their managers that they feel that some individuals spend a substantial amount of time doing personal business during working hours. For example, they text, or spend time using social media. The situation affects the workload of other employees. A few managers have confronted employees about doing personal tasks during working hours. These managers learned that some employees believe that they have legitimate concerns about when they can accomplish their personal business. For example, some companies like banks are open only during office hours, and some employees use texts to communicate with their child-care providers. These employees argue that it is not fair to expect them to take personal leave for a few minutes here and there. Other managers have indicated that not enough time is lost to make a big deal about it. Furthermore, they argue, raising the issue will result in negative feelings toward the organization. The division director has asked you to come up with a list of recommendations in which you recognize the need for optimum employee productivity as well as the potential costs, both financial and personal, of monitoring and attempting to change such behaviors.

Discussion Questions

Answer the questions below:

1. What happened during the meeting of the ethics task force?
2. Did you feel prepared for the meeting? If not, what additional information or material would have been helpful?
3. Did all task force members participate in the meeting? How well did the task force do at discussing how it could make best use of each person’s abilities?
4. Think about the stages of team development. What elements of stage 1 (forming) did you accomplish in your task force? What elements of stage 2 (storming) or stage 3 (norming) were accomplished? What member behaviors provided support for the team’s development?
5. Did the discussion stay on track, or was there a tendency to go off on tangents?
6. What suggestions would you make to the meeting chair about running future meetings?
7. What suggestions do you have for yourself for the next time you chair a meeting?

Reflection

Even when specifically asked to focus on team development activities, some people tend to gravitate toward trying to “solve the problem” rather than focusing on how to approach solving the problem. Even for individual decision making, this can lead to jumping to conclusions, but it is especially problematic in team decision making because it may result in decisions that do not reflect the wisdom of all the members of the team.

APPLICATION

Team-Building Action Plan

Objective

Now that you have had a chance to read about team building and practice some team development activities, it is time to put your learning into practice. The objective of this exercise is to give you a chance to improve the effectiveness of a team on which you are a member.

Directions

Complete the steps outlined below:

1. Think about a student group, a work unit, a task force, or a committee of which you are currently a member, where you could do some informal or formal team building.
2. Identify and write down a few objectives for the team-building session. For example, you may feel that the roles and responsibilities of group members are not clear and that you would like to focus on clarifying role expectations. Or you may decide you need to personally practice using one of the four roles—communicator, contributor, collaborator, or challenger—in group meetings. Make sure that your objectives are actually focused on group, rather than individual, dynamics. For example, if you are a group leader and have someone in your group who is exhibiting negative behaviors, you might find it more appropriate to meet privately with the individual.

3. Select a team-building approach to use that will address the objectives you have written. Find one or two resources that explain in detail how to facilitate the activities to carry out the approach.

4. Write a one- to two-page memo to your team members describing your concerns about the team. Include a proposed action plan for team-building activities. Remember to use grounds and warrants to justify why you think the team would benefit from participating in these team-building activities.

Reflection
In writing your memo, did you remember to use what you learned about communicating honestly and effectively earlier in this module? Did you leave any “left-hand-column” issues unmentioned? What do you think the long-term impact of that decision will be for your team’s effectiveness?

Module 1 Competency 5 Managing and Encouraging Constructive Conflict

ASSESSMENT How Do You Handle Conflict?


Directions Think of a friend, relative, manager, or coworker with whom you have had a number of disagreements. Then indicate how frequently you engage in each of the following behaviors during disagreements with that person. For each item select, the number that represents the behavior you are most likely to exhibit. There are no right or wrong answers. Please respond to all items using the scale below.

Scale

<table>
<thead>
<tr>
<th>Always</th>
<th>Very Often</th>
<th>Often</th>
<th>Sometimes</th>
<th>Seldom</th>
<th>Very Seldom</th>
<th>Never</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
<td>6</td>
<td>7</td>
</tr>
</tbody>
</table>

_____ 1. I blend my ideas to create new alternatives for resolving a disagreement.
_____ 2. I shy away from topics that are sources of disputes.
_____ 3. I make my opinion known in a disagreement.
_____ 4. I suggest solutions that combine a variety of viewpoints.
_____ 5. I steer clear of disagreeable situations.
_____ 6. I give in a little on my ideas when the other person also gives in.
_____ 7. I avoid the other person when I suspect that he or she wants to discuss a disagreement.
Managing and Encouraging Constructive Conflict

8. I integrate arguments into a new solution from the issues raised in a dispute.
9. I will go 50–50 to reach a settlement.
10. I raise my voice when I’m trying to get the other person to accept my position.
11. I offer creative solutions in discussions of disagreements.
12. I keep quiet about my views in order to avoid disagreements.
13. I give in if the other person will meet me halfway.
14. I downplay the importance of a disagreement.
15. I reduce disagreements by making them seem insignificant.
16. I meet the other person at a midpoint in our differences.
17. I assert my opinion forcefully.
18. I dominate arguments until the other person understands my position.
19. I suggest we work together to create solutions to disagreements.
20. I try to use the other person’s ideas to generate solutions to problems.
21. I offer trade-offs to reach solutions in disagreements.
22. I argue insistently for my stance.
23. I withdraw when the other person confronts me about a controversial issue.
24. I sidestep disagreements when they arise.
25. I try to smooth over disagreements by making them appear unimportant.
26. I insist my position be accepted during a disagreement with the other person.
27. I make our differences seem less serious.
28. I hold my tongue rather than argue with the other person.
29. I ease conflict by claiming our differences are trivial.
30. I stand firm in expressing my viewpoints during a disagreement.

Scoring and Interpretation

Three categories of conflict-handling strategies are measured in this instrument: solution-oriented, nonconfrontational, and control. By comparing your scores on the following three scales, you can see which of the three is your preferred conflict-handling strategy.

To calculate your three scores, add the individual scores for the items and divide by the number of items measuring the strategy. Then subtract each of the three mean scores from 7. The closer your score is to 0, the less likely you are to use that type of strategy; the closer your score is to 7, the more likely you are to use that type of strategy.

Solution-oriented: Items 1, 4, 6, 8, 9, 11, 13, 16, 19, 20, 21
Nonconfrontational: Items 2, 5, 7, 12, 14, 15, 23, 24, 25, 27, 28, 29
Control: Items 3, 10, 17, 18, 22, 26, 30

Solution-oriented strategies tend to focus on the problem rather than the individuals involved. Solutions reached are often mutually beneficial, where neither party defines herself as the winner and the other party as the loser.

Nonconfrontational strategies tend to focus on avoiding the conflict by either avoiding the other party or by simply allowing the other party to have his way. These strategies are used when there is more concern with avoiding a confrontation than with the actual outcome of the problem situation.
Control strategies tend to focus on winning or achieving one’s goals without regard for the other party’s needs or desires. Individuals using these strategies often rely on rules and regulations in order to “win the battle.”

Discussion Questions
1. Which strategy do you find easiest to use? Most difficult? Which do you use most often?
2. How would your answers to these items have differed if you had considered someone different from the person you chose?
3. Would your answers differ between work-related and non-work-related situations? Between different types of work-related situations?
4. What is it about the conflict situation or strategy that tells you which strategy to use in dealing with a particular conflict situation?

Reflection
Understanding your preferred conflict-handling style is a first step toward being able to thoughtfully choose an approach to handling conflicts in the future, rather than simply falling into habitual patterns of responding to conflict.

LEARNING Managing and Encouraging Constructive Conflict

Over the past several decades, the topics of conflict and conflict management have become increasingly important to managers in organizations of all sizes. In the 1980s, research on organizational conflict indicated that managers were spending between 20 and 50 percent of their time dealing with conflict, with managers at the lower levels of the organizational hierarchy reporting more time spent than managers at the higher levels (Lippitt, 1982). Since then, one might expect that these numbers have increased. Considering the nature of changes that are occurring in organizations as they attempt to adapt to and/or anticipate changes in their external environment, it would seem inevitable that conflict will increase as individuals disagree over how work should be organized, who should participate in various decisions, and what strategies should be used to accomplish organizational goals. In addition, as organizational workplaces become more demographically diverse, individuals with different cultural backgrounds may differ in how they approach problem solving and/or in what criteria they believe are most important to determine solutions. Although these statements may at first seem to suggest that organizational anarchy is imminent, you will see in this section that conflict over these types of decisions can potentially lead to stronger organizational performance. When managed appropriately, conflict can be a positive and productive force in decision making.

DIFFERENT PERSPECTIVES ON CONFLICT

Many people in US society instinctively say that they see conflict between individuals or groups as harmful. They try to avoid conflict in both work-related and non-work-related situations because they believe it will create bad feelings among people. However, research shows that constructive conflict can be useful.

Studies have found that there are different types of conflict—relationship conflict and task conflict—and that these different types of conflict have different consequences for effective decision making (Simons & Peterson, 2000). In addition, researchers have found that people
use different adjectives when describing these two different types of conflict. When describing relationship conflict, which focuses on differences in personalities and work styles, people typically use negative words, such as “frustrating, anger, stressful, fear and wasteful” (Runde & Flanagan, 2008, p. 22). Alternatively, when people describe task conflict, which focuses on the tasks for which the group is responsible and what alternative approaches might be taken to research the group’s goals, they more often use positive words, such as “opportunity, challenge, energizing, learning, and resolution” (Runde & Flanagan, 2008, p. 24).

When individuals in organizations differentiate between these two types of conflict, they are more likely to recognize that not only is conflict in organizations inevitable, but that it should sometimes be encouraged in order to increase opportunities for innovation and change and create a climate where new ideas can surface. As William Wrigley Jr. noted, “When two

**BOX M1.1 THE ABILENE PARADOX**

The July afternoon in Coleman, Texas (population 5,607) was particularly hot—104 degrees as measured by the Walgreen’s Rexall Ex-Lax temperature gauge. In addition, the wind was blowing fine-grained West Texas topsoil through the house. But the afternoon was still tolerable—even potentially enjoyable. There was a fan going on the back porch; there was cold lemonade; and finally, there was entertainment. Dominoes. Perfect for the conditions. The game required little more physical exertion than an occasional mumbled comment, “Shuffle ‘em,” and an unhurried movement of the arm to place the spots in the appropriate perspective on the table. All in all, it had the makings of an agreeable Sunday afternoon in Coleman—that is, it was until my father-in-law suddenly said, “Let’s get in the car and go to Abilene and have dinner at the cafeteria.”

I thought, “What, go to Abilene? Fifty-three miles? In this dust storm and heat? And in an unairconditioned 1958 Buick?” But my wife chimed in with, “Sounds like a great idea. I’d like to go. How about you, Jerry?” Since my own preferences were obviously out of step with the rest, I replied, “Sounds good to me,” and added, “I just hope your mother wants to go.”

“Of course I want to go,” said my mother-in-law. “I haven’t been to Abilene in a long time.”

So into the car and off to Abilene we went. My predictions were fulfilled. The heat was brutal. We were coated with a fine layer of dust that was cemented with perspiration by the time we arrived. The food at the cafeteria provided first-rate testimonial material for antacid commercials.

Some four hours and 106 miles later we returned to Coleman, hot and exhausted. We sat in front of the fan for a long time in silence. Then, both to be sociable and to break the silence, I said, “It was a great trip, wasn’t it?”

No one spoke.

Finally my mother-in-law said, with some irritation, “Well, to tell the truth, I really didn’t enjoy it much and would rather have stayed here. I just went along because the three of you were so enthusiastic about going. I wouldn’t have gone if you all hadn’t pressured me into it.”

I couldn’t believe it. “What do you mean ‘you all?’”

Don’t put me in the ‘you all’ group. I was delighted to be doing what we were doing. I didn’t want to go. I only went to satisfy the rest of you. You’re the culprits.”

My wife looked shocked. “Don’t call me a culprit. You and Daddy and Mama were the ones who wanted to go. I just went along to be sociable and to keep you happy. I would have to be crazy to want to go out in a heat like that.”

Her father entered the conversation abruptly. “Hell!” he said.

He proceeded to expand on what was already absolutely clear. “Listen, I never wanted to go to Abilene. I just thought you might be bored. You visit so seldom I wanted to be sure you enjoyed it. I would have preferred to play another game of dominoes and eat the leftovers in the icebox.”

After the outburst of recrimination we all sat back in silence. Here we were, four reasonably sensible people who, of our own volition, had just taken a 106-mile trip across a godforsaken desert in a furnace-like temperature through a cloud-like dust storm to eat unpalatable food at a hole-in-the-wall cafeteria in Abilene, when none of us really wanted to go. In fact, to be more accurate, we’d done just the opposite of what we wanted to do. The whole situation simply didn’t make sense.

**Source:** Harvey, Jerry B. The Abilene Paradox and Other Meditations on Management. Copyright © 1996, John Wiley and Sons. Reprinted by permission.
[people] . . . always agree, one of them is unnecessary” (quoted in Tjosvold, 1993, p. 133). Viewing conflict from this perspective requires us to seek challenges to our thoughts and ideas, to value those challenges over unquestioning acceptance, and to trust those with whom we work (Simons & Peterson, 2000). Jerry Harvey’s famous story of the Abilene Paradox (see Box M1.1) provides a clear example of when a challenge can be more valuable than acceptance.

To manage conflict more effectively, we need to understand how conflict emerges naturally, so we begin by presenting some basic definitions and frameworks for understanding the sources and progression of naturally emerging conflict. We will then look at strategies for managing these conflicts that increase the likelihood that positive outcomes will result. Finally, we will look at a technique for stimulating conflict for the purpose of encouraging innovation (and avoiding unnecessary trips to Abilene).

LEVELS, SOURCES, AND STAGES OF CONFLICT

To use conflict constructively, it is important to understand how conflicts arise and how they develop. While our primary focus here is on conflicts that arise between individuals or between groups (and, in fact, that is where most conflicts of consequence to organizations tend to arise), it is important to recognize that conflict occurs at all levels of the organization. For example, conflicts may occur between two different organizations or between units of an organization, when one of these organizations or units senses that the other is working against its particular goals or interests.

Conflicts in organizations develop for a wide variety of reasons. Often conflicts develop because of individual differences, such as differences in values, attitudes, beliefs, needs, or perceptions. Sometimes an e-mail or text sets off conflict because the people involved don’t have enough information about how others really feel about the situation. As organizations expand their use of participative decision making, there is more opportunity for conflict. In addition, as the workforce becomes culturally diverse, conflict may arise out of misperceptions that are related to differing worldviews held by different cultural groups (Cox, 1993). The tremendous benefits that derive from diverse people bringing differing perspectives to the decision-making process are not likely to occur without conflict over how the decision should be made, who should have input into the decision, how information about the decision should be disseminated, and what the actual decision should be.

Organizational structures may also increase the likelihood of conflict within or between groups. For example, when two or more units perceive that they are in competition with each other for scarce resources, they are more likely to engage in conflict. Similarly, conflicts can arise when two or more units see themselves as having different goals. For example, in large organizations, units associated with cost or quality control, or with setting organizational policies and procedures, often find themselves in conflict with other organizational units. Conflict appears to be a natural consequence of the differing focuses of the units and of the checks and balances that organizations build into the system. However, our assumption that conflicts arise out of opposing interests and goals is only partly true. More often, conflicts arise out of interdependence (Tjosvold, 1993). That is, conflicts do not arise because two departments or work units have incompatible long-term interests or goals, but rather because they disagree on the path or means to accomplish the goal. More important, one unit cannot accomplish its goal
without the other. As Wheatley (2005) reminds us, most systems in nature “arise from two seemingly conflicting forces: the absolute need for individual freedom, and the unequivocal need for relationships” (p. 46). Not surprisingly, many conflicts in organizations emerge from the existence of these two countervailing forces.

**STAGES OF THE CONFLICT PROCESS**

Regardless of the level or the source of the conflict, conflicts often follow a set sequence of events or stages. In the first stage, the conflict is latent. Neither party senses the conflict, but the situation is one in which individual or group differences or organizational structures have created the potential for conflict.

When the potential conflict situation is perceived by one or more of the individuals or groups, the conflict moves into the second stage. In this stage, individuals become cognitively and emotionally aware of the differences. Here each of the two parties may attribute intentional and unjustifiable acts to the other. Emotional reactions may take the form of anger, hostility, frustration, anxiety, or pain.

In the third stage, the conflict moves from a cognitive and/or emotional awareness to action. It is in this stage that the conflict becomes overt, and the individuals or groups implicitly or explicitly choose to act to resolve the conflict or to escalate it. Actions to escalate the conflict include various forms of aggressive behaviors, such as verbally (or physically) attacking the other person or group, acting in ways that purposefully frustrate others’ attainment of goals, or attempting to engage others in the conflict by getting them to take sides against the other party. Actions to resolve the conflict generally require both parties to take a positive problem-solving approach that allows both of their needs and concerns to be heard and handled. If the two parties believe that they are bound by a common long-term goal, it is more likely that they will take a positive problem-solving approach.

The fourth stage of conflict is the outcome or aftermath. Actions taken in the third stage directly affect whether the outcomes are functional or dysfunctional. Functional outcomes include a better understanding of the issues underlying the conflict, improved quality of decisions, increased attention to the use of creativity and innovation in solving and resolving future problems, and a positive approach to self-evaluation. Dysfunctional outcomes include continued anger and hostility, reduced communication, and a destruction of team spirit. More important, conflicts that result in dysfunctional outcomes often snowball, setting the stage for new conflicts that will potentially be more difficult to resolve because their source will be more complex.

**CONFLICT MANAGEMENT APPROACHES**

In the Assessment activity, you identified your preference among three conflict-handling strategies in a particular situation. These three strategies can be represented along two dimensions that show how individuals think and act in approaching situations in which there is conflict (Thomas, 1976). The first dimension represents cooperativeness, or the extent to which you are willing to work to meet the other party’s needs and concerns. The
second dimension represents *assertiveness*, or the extent to which you are willing to work to meet your own needs and concerns. Figure M1.3 shows how these two dimensions define five conflict management approaches. Nonconfrontational strategies are associated with avoiding and accommodating approaches, control strategies are associated with a competing approach, and solution-oriented strategies are associated with collaborating and compromising approaches.

**AVOIDING**

Avoiding approaches are used when individuals recognize the existence of a conflict but do not wish to confront the issues of the conflict. In avoiding the issues, they work neither to satisfy their own goals nor to satisfy the other party’s goals. Individuals may avoid by withdrawing and creating physical separation between the parties or by suppressing feelings and attempting not to discuss the issues of the conflict. This approach is often useful when some time is needed to allow two parties engaged in a conflict to cool off. In the long term, however, if the conflict is not dealt with, it is likely to surface again. Moreover, if employees avoid dealing with conflict situations because they fear that it is not safe to bring bad news to their boss, organizations risk not finding out important information about organizational problems (Bennis, Goleman, O’Toole, & Biederman, 2008).

**ACCOMMODATING**

When individuals use accommodating approaches they do not act to achieve their own goals but rather work only to satisfy the other party’s concerns. This approach has the advantage of preserving harmony and avoiding disruption. In the short term, this approach is useful when the issue is not seen as very important or when the other party is much stronger and will not give in. In the long term, however, individuals may not always be willing to sacrifice their

**FIGURE M1.3 Dimensions of conflict-handling orientations.**

Managing and Encouraging Constructive Conflict

personal needs in order to maintain the relationship. In addition, accommodating approaches generally limit creativity and stop the search for new ideas and solutions to the problem. Many unnecessary “trips to Abilene” have been taken by individuals believing that they were helping the situation by accommodating.

COMPETING

In direct contrast to accommodating approaches, competing approaches (sometimes referred to as “forcing”) occur when individuals work only to achieve their own goals. In these cases, individuals often fall back on authority structures and formal rules to win the battle. Although competing approaches are appropriate when quick, decisive action is necessary or when one knows that certain decisions or actions must be taken for the good of the group, these approaches often result in dysfunctional outcomes. Competing behaviors set up a win–lose confrontation, in which one party is clearly defined as the winner and the other as the loser. In addition, as with accommodating approaches, the use of competing behaviors generally limits creativity and stops the search for new ideas and solutions to the problem.

COMPROMISING

Compromising approaches are the first of the solution-oriented strategies. Individuals using these approaches are concerned both with their own interests and goals and with those of the other party. These approaches usually involve some sort of negotiation during which each party gives up something in order to gain something else. The underlying assumption of compromising strategies is that there is a fixed resource or sum that is to be split and that, through compromise, neither party will end up the loser. The disadvantage to this approach, however, is that neither party ends up the winner, and people often remember what they had to give up in order to get what they wanted.

COLLABORATING

The second solution-oriented strategy is collaboration. Individuals using collaborating approaches are concerned with their own interests and goals as well as those of the other party. The difference is that there is no underlying assumption of a fixed resource that will force everyone to give up something in order to gain something else. Rather, the assumption is that by creatively engaging the problem, a solution can be generated that makes everyone a winner and everyone better off. Clearly these approaches have great advantages with respect to cohesion and morale; the great disadvantage is that they are time consuming and may not work when the conflict involves differences in values.

Each of the conflict management approaches has advantages and disadvantages that make it more or less appropriate for a given situation. Table M1.5 presents the five approaches and the appropriate situations for using each. Clearly your approach will also depend on your own comfort in using the various approaches. Research has shown, however, that approaches that allow for different perspectives and inputs to be integrated into the final decision are associated with such positive outcomes as decision-making productivity and organizational performance (Thomas, 2004; Thomas & Ely, 1996; Thomas, 1976).
### TABLE M1.5 When to Use the Five Conflict Management Approaches

<table>
<thead>
<tr>
<th>Conflict Management Approach</th>
<th>Appropriate Situations</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Competing</strong></td>
<td>1. When quick, decisive action is vital.</td>
</tr>
<tr>
<td></td>
<td>2. On important issues where unpopular actions need implementing.</td>
</tr>
<tr>
<td></td>
<td>3. On issues vital to the organization’s welfare, when you know you are right.</td>
</tr>
<tr>
<td></td>
<td>4. Against people who take advantage of noncompetitive behavior.</td>
</tr>
<tr>
<td><strong>Collaborating</strong></td>
<td>1. To find an integrative solution when both sets of concerns are too important to be compromised.</td>
</tr>
<tr>
<td></td>
<td>2. When your objective is to learn.</td>
</tr>
<tr>
<td></td>
<td>3. To merge insights from people with different perspectives.</td>
</tr>
<tr>
<td></td>
<td>4. To gain commitment by incorporating concerns into a consensus.</td>
</tr>
<tr>
<td></td>
<td>5. To work through feelings that have interfered with a relationship.</td>
</tr>
<tr>
<td><strong>Compromising</strong></td>
<td>1. When goals are important, but not worth the effort or potential disruption of more assertive approaches.</td>
</tr>
<tr>
<td></td>
<td>2. When opponents with equal power are committed to mutually exclusive goals.</td>
</tr>
<tr>
<td></td>
<td>3. To achieve temporary settlements to complex issues.</td>
</tr>
<tr>
<td></td>
<td>4. To arrive at expedient solutions under time pressures.</td>
</tr>
<tr>
<td></td>
<td>5. As a backup when collaboration or competition is unsuccessful.</td>
</tr>
<tr>
<td><strong>Avoiding</strong></td>
<td>1. When an issue is trivial, or more important issues are pressing.</td>
</tr>
<tr>
<td></td>
<td>2. When you perceive no chance of satisfying your concerns.</td>
</tr>
<tr>
<td></td>
<td>3. When potential disruption outweighs the benefits of resolution.</td>
</tr>
<tr>
<td></td>
<td>4. To let people cool down and regain perspective.</td>
</tr>
<tr>
<td></td>
<td>5. When gathering information supersedes the need for an immediate decision.</td>
</tr>
<tr>
<td></td>
<td>6. When others can resolve the conflict more effectively.</td>
</tr>
<tr>
<td></td>
<td>7. When issues seem tangential or symptomatic of other issues.</td>
</tr>
<tr>
<td><strong>Accommodating</strong></td>
<td>1. When you find you are wrong—to allow a better position to be heard, to learn, and to show your reasonableness.</td>
</tr>
<tr>
<td></td>
<td>2. When issues are more important to others than to you—to satisfy others and maintain cooperation.</td>
</tr>
<tr>
<td></td>
<td>3. To build social credits for later issues.</td>
</tr>
<tr>
<td></td>
<td>4. To minimize loss when you are outmatched and losing.</td>
</tr>
<tr>
<td></td>
<td>5. When harmony and stability are especially important.</td>
</tr>
<tr>
<td></td>
<td>6. To allow subordinates to develop by learning from mistakes.</td>
</tr>
</tbody>
</table>

ADVOCACY AND INQUIRY

A similar framework for thinking about managing conflict is presented in Senge’s (2006) discussion of the need for balancing advocacy and inquiry. Senge argues that while many managers are initially promoted because of their advocacy skills—that is, their ability to influence others—the emphasis on advocacy can actually become counterproductive as managers move up the organizational hierarchy and problems become more complex. At this point, “they need to tap insights from other people. They need to learn” (Senge, 2006, p. 183). Learning requires genuine inquiry, asking questions about the other person’s understanding of the situation and why they are taking a particular position, and truly listening to that person’s response.

In many ways, advocacy is similar to the assertiveness dimension and inquiry is similar to cooperativeness in the five conflict approaches above. However, unlike assertiveness, both advocacy and inquiry involve actions to develop a deeper understanding of the problem and what data and assumptions have led each party to take the position each is taking. When individuals learn to balance advocacy and inquiry, they can engage in “dialogue,” which comes from the Greek “dia-logos . . . [or] a free-flowing of meaning through a group, allowing the group to discover insights not attainable individually” (Senge, 2006, p. 10).

Senge suggests a few guidelines for balancing advocacy and inquiry that use two competencies we have already covered: thinking critically and communicating honestly and effectively. First, when advocating, it is important to clarify one’s own reasoning and to encourage others to ask questions that explore how you arrived at a particular position. Second, when inquiring, ask others to explain their assumptions and how they arrived at their conclusions. Ask questions in a way that shows openness to the other person’s response, rather than in a way that suggests that you already know the answer to your question. A lack of inquiry in conversation tends to create defensiveness toward others when they advocate for their positions. If you arrive at an impasse, ask more questions to seek for understanding. Based on what you hear, think about what additional information or logic you and the other person might need to change your minds.

MANAGING CONFLICT CONSTRUCTIVELY

As indicated previously, approaches that encourage individuals and groups to work together to engage the problem creatively and to develop integrative solutions have been found to be most effective, especially in the long run. These approaches, however, which fall under the solution-oriented strategies, may be especially difficult since, as Wheatley (2005) notes, conflict is generally associated with aggression, so individuals may be hesitant to back off their preferred solution. If individuals and organizational units can move away from associating conflict with aggression, however, they can begin to collaborate and/or engage in productive dialogue.

The first step in taking such approaches is to face the conflict. One party must recognize that a conflict exists, face her feelings about the conflict, and be willing to approach the second party to talk about that person’s feelings about the conflict. People often find this to be difficult because it requires that they put aside any anger or hostility they are feeling and also that they be willing to face the anger or hostility that may be presented by the other party. Moreover, if there has been a long history of conflict, the second party might not yet be willing to try to collaborate. In a large group, Wheatley (2005) talks about the need for a process that cools down the situation. If you want to try to manage the conflict using a collaborative process, you will need to think in advance about how to handle this situation. Decide how to
approach the other person. Be persistent, but give the other person whatever time and space he or she needs to agree to collaborate.

It is often a good idea to meet with the other party in a neutral environment. This will promote an atmosphere of willingness to work together on generating positive solutions. When you meet, it is important that you examine your feelings as well as the actual source of the conflict. Each person should state his views in a clear, nonthreatening way. Make use of the reflective listening techniques presented in Competency 2 of this module—Communicating Honestly and Effectively.

After both parties have had a chance to surface their personal feelings and views of the conflict, try to move to a mutual definition of the conflict in terms of needs. It is important that both parties share a definition of the conflict before attempting to resolve it; otherwise, you may be focusing on two separate and distinct issues. Again, it is important that you use reflective listening to come to a mutual definition of the conflict.

The next step is to generate potential solutions. Search for solutions that address the needs of both parties. Use creative thinking techniques (see Module 4) to increase the likelihood of finding a solution that meets everyone’s needs; avoid making judgments about any of the solutions. Instead of asking yourself, “What about this solution will not work?,” ask “What about this solution will work?” Wheatley refers to this as “enriching through fruitful opposition” and emphasizes that this is a time to learn by “amplify[ing] the differences as the means to create a fuller, detailed appreciation of the situation or problem” (p. 188, emphasis in the original).

After both parties have listed all possible solutions, it is time to select an alternative. Both parties should identify their preferred solutions and think about why these solutions best meet their needs. The two parties should then see if any of the preferred solutions coincide or what sorts of compromises are required to allow them to come to a mutually acceptable agreement.

Once the solution has been identified, decide who will do what and when it will be done. That is, make sure you have an action plan that outlines the steps to carry out the solution and identifies the person responsible for each step. At the end of a meeting, everyone should be clear about what decisions have been reached and what assignments have been made. You may also want to identify steps to evaluate your success in implementing your solution. As a final step, it may be appropriate for both parties to identify what they learned from this conflict and what they will do in the future to avoid finding themselves in the same situation again.

In Module 4, we will go into more detail on negotiating agreement and commitment using a solution-oriented approach. Ultimately, the key to managing conflict constructively is to keep in mind this maxim: Confront the conflict; confront the problem; do not confront the person. That is, if the two parties in conflict can see the problem as their enemy, rather than each other, it will be easier to come to a mutually acceptable solution.

**HOW TO STIMULATE CONSTRUCTIVE CONFLICT AND MANAGE AGREEMENT**

In the beginning of this section, we discussed the notion that sometimes unquestioning or unhealthy agreement can be more harmful to the organization than overt conflict. Indeed, as was evident in the case of the Abilene Paradox, unhealthy agreement can lead organizations
to “take actions in contradiction of what they really want to do and therefore defeat the very purposes they are trying to achieve” (Dyer, 1995, p. 37).

While there are a number of techniques for stimulating constructive conflict in groups (Faerman, 1996), here we present a technique that divides the larger group into two smaller groups and assigns both groups the task of developing a set of recommendations. The assumption here is that higher-quality decisions will emerge from the juxtaposition of two (or more) opposing sets of recommendations, allowing a synthesis of the best of each set of recommendations. For example, to stimulate creative solutions, Jerry Hirshberg, founder and president of Nissan Design International, advocates “hiring in divergent pairs”; that is, finding two people who have opposite ways of approaching a situation and thus will create abrasion (Hirshberg, 1999).

The guidelines in Table M1.6 are adapted from Johnson, Johnson, and Smith (1989), who refer to these groups as advocacy groups; these authors suggest that advocacy groups provide a way for decision-making groups to structure the discussion to guarantee that differing perspectives will be presented. Groups are assigned to different positions, then they develop and deliver presentations to one another that advocate for their assigned points of view. The conversation allows them to challenge one another, seek more information, and ultimately to create an ideal synthesis that integrates the best ideas from each position.

Note that there are similarities between the approaches discussed for managing existing conflicts constructively and this technique, which is designed to stimulate conflict. That is, whether you are trying to increase or decrease conflict, it is important to ensure that opportunities are created to present and advocate differing ideas, to learn about these differing ideas, and ultimately to search for a solution that is mutually beneficial to all involved parties. The implication of this similarity, of course, is that most organizational conflicts do not involve a “right” and a “wrong” side, or a “correct” and an “incorrect” way of doing something. Rather, there are numerous alternatives that can be chosen, with the best often being a synthesis of the various possibilities.

**TABLE M1.6 Guidelines for Advocacy Groups**

1. Groups (two or more) are assigned different positions to adopt.
2. Groups gather data and structure a case for their position and present the case to all other groups.
3. Each presentation is followed by a discussion in which the group is challenged by others who present opposing positions. (It should be noted that these discussions are referred to as controversy, rather than debate, because the goal is not to win but to hear the different ideas, information, theories, conclusions, etc.)
4. More information is sought to support and refute positions presented as well as to understand others’ positions.
5. A synthesis of the different alternatives is sought. This involves creative (divergent) thinking to see new patterns and integrate the various perspectives (see Module 4).
Conflicts often can be linked back to multiple causes, not just a single difference of opinion. In analyzing the situation at Zack’s Electrical Parts, try to think about how the current conflict developed over time and escalated into a potentially serious problem for this organization.

Read the following case:

Bob Byrne’s ear was still ringing. Bob was director of the audit staff at Zack’s Electrical Parts. He had just received a phone call from Jim Whitmore, the plant manager. Jim was furious. He had just read a report prepared by the audit staff concerning cost problems in his assembly plant.

Jim, in a loud voice, said that he disagreed with several key sections of the report. He claimed that had he known more about the audit staff’s work, he could have shown them facts that denied some of their conclusions. He also asked why the report was prepared before he had a chance to comment on it. But what made him particularly angry was that the report had been distributed to all the top managers at Zack’s. He felt top management would get a distorted view of his assembly department, if not his whole plant.

Bob ended the call by saying that he’d check into the matter. So he called in Kim Brock, one of his subordinates who headed the audit team for the study in question. Kim admitted that she had not had a chance to talk to Jim before completing and distributing the report. Nor had she really had a chance to spend much time with Dave Wells, who headed the assembly department. But Kim claimed it wasn’t her fault. She had tried to meet with Jim and Dave more than once. She had left phone messages for them. But they always seemed too busy to meet and were out of town on several occasions when she was available. So she decided she had better complete the report and get it distributed in order to meet the deadline.

That same day, Jim and Dave discussed the problem over lunch. Dave was angry, too. He said that Kim bugged him to do the study, but her timing was bad. Dave was working on an important assembly area project of his own that was top priority to Jim. He couldn’t take the time that Kim needed right now. He tried to tell her this before the study began, but Kim claimed she had no choice but to do the audit. Dave remembered, with some resentment, how he couldn’t get Kim’s help last year when he needed it. But the staff audit group seemed to have plenty of time for the study when he couldn’t give it any attention. Jim said that he’d look into the matter and agreed that they had been unnecessarily raked over the coals.

Answer the questions below:

1. Based on your understanding of the section on levels, sources, and stages of conflict, what were the sources of conflict between the staff audit group and the managers in the plant?
2. What were the differences between the interpersonal conflict and the intergroup conflict in this case?
3. How would you describe the conflict in terms of the stages it went through?
4. What should Bob and Jim do now to resolve this conflict?
5. What might Bob do to avoid future conflict situations between the audit group staff and other line managers?

Reflection  The auditing function is critical to the control action imperative of the internal process quadrant (see Module 2). Not surprisingly, conflict often results when one department is charged with evaluating another.

PRACTICE  Win as Much as You Can

Objective  Conflict can emerge in many different settings for many different reasons. After completing this practice exercise, you will be given an opportunity to reflect upon any sources of conflict that emerge during the ten rounds of the activity.


Directions  Your instructor will place you in groups of eight (or more). Each of these groups should divide into four smaller groups, trying to keep the small groups evenly balanced. If you have exactly eight, you will be in four dyads; if you have more than eight, you will have some small groups with three or four people. Once you have decided on the small groups, seat yourself so that people in each small group can talk among themselves without being heard by the other small groups.

You will play 10 rounds. In each round, your small group will tell the instructor whether you would like to say X or Y. You will win points based on the configuration of X’s and Y’s according to the following payoff schedule. Rounds 5, 8, and 10 are bonus rounds. In Round 5, your points are multiplied by 3; in Round 8 they are multiplied by 5; and in Round 10 they are multiplied by 10. The objective of the exercise is to win as much as you can.

PAYOFF SCHEDULE

<table>
<thead>
<tr>
<th>Points</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>4 X’s</td>
<td>Each small group loses 1 point</td>
</tr>
<tr>
<td>3 X’s</td>
<td>Each small group that said X wins 1 point</td>
</tr>
<tr>
<td>1 Y</td>
<td>Small group that said Y loses 3 points</td>
</tr>
<tr>
<td>2 X’s</td>
<td>Each small group that said X wins 2 points</td>
</tr>
<tr>
<td>2 Y’s</td>
<td>Each small group that said Y loses 2 points</td>
</tr>
<tr>
<td>1 X</td>
<td>Small group that said X wins 3 points</td>
</tr>
<tr>
<td>3 Y’s</td>
<td>Each small group that said Y loses 1 point</td>
</tr>
<tr>
<td>4 Y’s</td>
<td>Each small group wins 1 point</td>
</tr>
</tbody>
</table>

In each round, confer within your small group and make a group decision. In rounds 5, 8, and 10, you may confer with the other small groups before making your decision. Use the following scorecard to keep track of your points.
SCORECARD

<table>
<thead>
<tr>
<th>Round</th>
<th>Time Allotted</th>
<th>Your Choice</th>
<th>Pattern of Choices</th>
<th>Payoff</th>
<th>Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>1½ min.</td>
<td>___ X ___ Y</td>
<td>___ X ___ Y</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>1 min.</td>
<td>___ X ___ Y</td>
<td>___ X ___ Y</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>1 min.</td>
<td>___ X ___ Y</td>
<td>___ X ___ Y</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>1 min.</td>
<td>___ X ___ Y</td>
<td>___ X ___ Y</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>1½ min.</td>
<td>___ X ___ Y</td>
<td>___ X ___ Y</td>
<td>× 3</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>1 min.</td>
<td>___ X ___ Y</td>
<td>___ X ___ Y</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>1 min.</td>
<td>___ X ___ Y</td>
<td>___ X ___ Y</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>1½ min.</td>
<td>___ X ___ Y</td>
<td>___ X ___ Y</td>
<td>× 5</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>1 min.</td>
<td>___ X ___ Y</td>
<td>___ X ___ Y</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>1½ min.</td>
<td>___ X ___ Y</td>
<td>___ X ___ Y</td>
<td>× 10</td>
<td></td>
</tr>
</tbody>
</table>

Discussion Questions

1. Who was “you” in the phrase “win as much as you can”?
2. What does “win” mean in that phrase?
3. What did you assume that your instructor did not say to you?
4. What, if any, conflicts arose within your small group?
5. Based on your understanding of the five conflict management approaches, how did you resolve these conflicts?
6. Does this experience resemble any real-life experiences you have had? If so, how might you approach this type of conflict differently in the future?
7. Does this exercise tell you that conflict is inherently bad? Why or why not?

Reflection

Observing how you (and others) respond to this exercise can be a useful tool for increasing your understanding of self and others by helping to expand the Open area in people’s Johari window.

APPLICATION  Managing Your Own Conflicts

Objective

Managing conflict in a controlled setting is one thing. Managing conflict outside the class is another. Several of the techniques that we have covered thus far, however, will be very helpful. Perhaps most obviously, effective communication and reflective listening skills are essential to managing conflict. In addition, many of the guidelines for leading teams also come into play. For this application exercise, work on integrating all of the competencies from this module.

Directions

Select a situation in which you currently are in conflict with someone else.

1. Write a brief description of the conflict that includes
   - The nature of the situation and the underlying issues
• Your feelings about the situation
• Your behavior and the behavior of the other party (parties) in the situation, including any conflict management strategies that have been used thus far

2. Develop a plan for resolving that conflict. Your plan should be actionable and should identify:
• The issues that you plan to address
• When and where you plan to address those issues
• What you plan to say and why you plan to say it
• The type of responses that you anticipate from the other party
• How you plan to reply to those responses

Reflection
It is easier to manage conflict when it does not take you by surprise. Preparation is one of the best prescriptions for managing conflict.

MODULE 1 Collaborate–Focused Competency Evaluation Matrix

Objective
The final exercise in each module is intended to give you a starting point for developing a comprehensive strategy for mastery that you can implement and monitor in the future. These competency evaluation matrices will be used at the end of this book to help you create a long-term development plan that focuses on enhancing your behavioral complexity.

Review
The first competency in the Collaborate quadrant, understanding self and others, discussed the importance of emotional and social intelligence, focusing particularly on how to increase your self-awareness, as well as different personality variables that can affect how people behave in organizations. Next, we discussed the importance of communicating honestly and effectively. We noted that there are many barriers to effective communication and offered suggestions on overcoming these barriers. In this competency, we also introduced the concept of “left-hand-column” issues—those things that people think and feel but that they chose not to communicate, and we discussed why it is often important to find ways to raise those hidden issues. Our third competency, mentoring and developing others, addressed formal performance evaluation processes as well as more informal coaching and mentoring activities. We also discussed the value of using delegation as a tool for developing others. We then moved from one-on-one interactions to consider managing groups and leading teams. After presenting key variables that influence team effectiveness and suggestions for increasing meeting effectiveness, we discussed the team development process and offered some suggestions for team-building activities. Our final competency focused on managing and encouraging constructive conflict. We noted that although interpersonal conflict can be dysfunctional, conflict that focuses on the task at hand can actually help improve our decisions. We identified five different ways that people tend to respond to conflict and provided examples of when each of the five ways might be appropriate.

Directions
Answer the questions in Table M1.7 for each competency in this module based on the reading material, class discussions, and your personal work (e.g., Assessment exercises and Application exercises).

Reflection
Taking time to record how you feel about your current performance for the five competencies and to identify specific actions that you can take to improve your performance helps reinforce what you have learned. If you have questions as you are going through this exercise, you can ask for guidance from your instructor or work with your peers to ensure that you have a solid understanding of the material covered up to this point in the text.
TABLE M1.7 Module 1 Collaborate-Focused Competency Evaluation Matrix

<table>
<thead>
<tr>
<th>With respect to this competency:</th>
<th>Communicating Honestly and Effectively</th>
<th>Mentoring and Developing Others</th>
<th>Managing Groups and Leading Teams</th>
<th>Managing and Encouraging Constructive Conflict</th>
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</thead>
<tbody>
<tr>
<td>1. What do I know about my current performance?</td>
<td></td>
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<tr>
<td>2. How could I be more effective?</td>
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<td>3. Who are some people I could observe?</td>
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<td>4. What books should I read?</td>
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<td>5. What objectives and deadlines should I set?</td>
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<td>6. With whom should I share my objectives?</td>
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<tr>
<td>7. How will I evaluate my efforts?</td>
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</table>

REFERENCES


