Structured Training Module

Leadership
&
Team Building

Leadership, Team Building and Performance Enhancement

Preface

There are many definitions of leadership but there is little consensus as to what makes a good leader. Is it the charisma, or the above average IQ or merely their official position?

It is observed that A leader can be the CEO of an organization, or a first year employee who leads his or her team to success behind the scenes. A leader might lead through official authority and power, yet just as often great leaders lead through inspiration, persuasion and personal connections. In fact, authority could be bestowed with rank, but leadership is always earned. Good leadership is indispensable to organisational success.

So, do leaders do different things? Or do they do things differently? Let's find out.

This structured training module hopes to take the participants as well as the trainers on a journey of revelation - about themselves and their co-workers. Without using too much of theory and technicalities, we build on robust foundations of research, insights and practice of renowned gurus, and have attempted to deliver a unique learning experience.

There will be games, video shows, at least one movie, lots of discussions and some questionnaire for the participants to respond from time to time. Lectures and other conventional *deliveries, though could not be eliminated altogether, have been minimised.*

At the end of the five day course we hope to have made the participants imbue the vital ethos of leadership in an interactive and enjoyable module. They will have gained insights that will enable them to become valued and creative members of any team.

Regional Training Institute, Kolkata thank the Training Division of the O/o the Comptroller and Auditor General of India for helping our faculty members with training, infrastructure and other resources that enabled us to prepare this STM. Moreover, we are most grateful for the confidence they have reposed upon us in asking us to handle this assignment.

Sandeep Singh

Principal Director

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Training Structure

Aim

The training module is aimed at the promotion of leadership skills of participants. It is also aimed to equip the participants with understanding of Group behaviours and how a cohesive team could be build. The rationale behind this endeavour is the development of effective leaders and participative teams.

Objectives

The objective of the training programme is enable the participants understand how good teams can be build and how to be a natural leader.

Methodology

The methodology consists a mix of the following:

Lecture-cum-discussion

Group Discussion

Management Games

Case Studies

Movies and short clips.

Duration

5 days

Participants

The target participants are the Asst. Audit/Accounts Officers to Sr. Audit/Accounts Officers.

Essential Requirement on part of the Facilitator for the course.

The course facilitator must have a grasp of the key concepts that will be discussed. He must at all-time maintain a positive and encouraging demeanour. His style should not be confrontational or condescending. He will be expected to encourage discussion and discovery of the key concepts by the participants themselves. He is not to lecture but to facilitate. He must create an atmosphere of trust.

It is important that the facilitator announces that all questionnaires given to the participants will be retained by them, that the facilitator will not ask any participant about their results which the participants may share with the class if they feel comfortable. That all keys will be given to the participants to make their own assessments. *This will encourage the participants to respond honestly to the questionnaires without any fear of being judged.*

The facilitator must not allow his personal beliefs and biases into the programme.

Course Contents

Day	Key Topic	Detailed Contents
I(F)	Leadership and Leadership Styles	Introduction to Leadership, Leadership Styles
I(A)	Emotional Intelligence	Introduction, Overview, Self- Awareness, Core emotions. Self-regulation. Understanding others.
II(F)	Interpersonal Relations	Introduction, Analysis of different ego states, Analysis of Transactions, Strokes and Life Position Empathy, Trust, Social Skills & Relationship Management.
II(A)	Importance of Communication	Introduction to Communication, Flow of Communication, Listening, Barriers of Communication, How to overcome barriers of communication.
III(F)	Motivation	Introduction to motivation. Types of Motivation, How to motivate team members.
III(A)	Stress Management	Introduction, Understanding Stress, Causes, Managing Stress
IV(F)	Time Management	Time as a Resource, Identify Important Time Wasters, Individual Time Management Styles, Techniques for better Time Management.
IV(A)	Group Dynamics &Team Building	Importance of groups in organization, Interactions in group, Group Decision Taking, Team Building, Interaction with the Team, How to build a good team?
V(F)	Conflict Management	Acknowledging existence of conflict, Identifying conflict response styles, identifying layers of a conflict and understanding conflict management process.
V (A)	Ethical Leadership and Other Emerging Issues	Ethical dilemmas, Ethical decision making and ethical theories. Emerging issues in leadership

PROGRAM STRUCTURE

TO BE HELD AT…………………………………………………………………….

HALL NO……………………

Course Title: *Leadership, Team Building and Performance Enhancement.*

TIMINGS	Day 1	Day 2	Day 3	Day 4	Day 5
10 AM TO 10-30 AM	Inaugural and Introduction				
10-30 AM TO 1-15 PM	Leadership and Leadership Styles	Interpersonal Relations	Motivation	Time Management	Managing Conflict
LUNCH BREAK					
2-15 PM TO 5-00PM	Emotional Intelligence§	Importance of Communication	Stress Management	Group Dynamics &Team Building	Ethical Leadership and Other Emerging Issues
5-00 PM TO 5-30 PM					Conclusion, Certificate distribution and Valediction

Tea Breaks: 11-45 AM to 12-00 PM & 3-30 AM to 3-45 AM

§Class will extend to 5-30pm.

Day I (Forenoon): Introduction to Leadership and Leadership Styles

Session-at-a-Glance

Session Plan	Session Structure	Teaching Methods	Time
Learning Objective: To impart knowledge, sharpen skills and orient attitudes of participants so that they are capable of performing better in their roles as leaders based on the situation. **Resources required:** • Projector and computer • Flipcharts, marker pens • PowerPoint Slides • Tower Building Materials: Drinking straws and masking tape.	Leadership concepts Exercise of tower building and discussion TP Leadership style questionnaire & Construction of Personal Leadership style profiles Experience sharing	Game & Discussion Questionnaire Lecture cum discussion Video and discussion	60 min 20 min 40 min 30 min
			150

Instructor Guide

The tower building exercise, if properly conducted, can be a very powerful tool to bring out participants' leadership styles and even to compare their relative merits and demerits.

The **TP Leadership Questionnaire** should be administered after the exercise of tower building. Required instructions are given on the Questionnaire, Score Sheet and Leadership style, Profile Sheet. Based on the leadership style of individual participants, discussions as to whether any change in their styles is required etc. can be made.

In the first instance, only the questionnaire will be given to the candidates. The Instruction and evaluation sheet may be given after all the participants have completed their response to the questionnaire.

Slides and Lecture: During the initial discussion importance and primacy of leadership should be highlighted. The concept of leader and manager should compared and contrasted. It should be made clear that while categorization of leadership is based on what leaders do or what they are capable of doing best, identification of leadership styles is based on how leaders perform the tasks of:

(1) Making decisions

(2) Implementing decisions

Show the video ***'Hon. Former President Shri Abdul Kalam's inspirational Speech on Leadership and Motivation'*** and discuss what traits of a leader the participants observe in this case.

Now show video ***Simon Sinek: How great leaders inspire action*** and end.

TOWER BUILDING EXERCISE

OVERVIEW

This is an exercise where groups construct a tower made from drinking straws.

AIM OF EXERCISE

To help groups open communication channels and build team spirit. It is a good exercise to run straight after groups have been formed.

PROCEDURE

1 Have members of each group sitting together.

2 Groups are briefed on the objective of the exercise (i.e. competition to build the tallest tower) and the rules (i.e. towers must be free standing).

3 Groups are issued with materials.

4 Groups are given 15 minutes to complete the task. Alternatively, groups can be given 5 minutes to plan their tower and 10 minutes build it.

5 When finished, towers are brought to the front of the classroom for judging.

6 The group with the tallest tower is judged the winner.

7 Debrief students.

MATERIALS REQUIRED

Drinking straws: 30 per group.

Masking tape: 1 roll per group. Rolls can be shared between groups.

Small prize for winning group if feasible.

DE-BRIEFING

By the end of the exercise, most group members will now be talking to each other (and hopefully laughing). It is important to point your observations out to the class. Discuss how the objective of the exercise was to open communication channels and this has been achieved. The aim for groups is to continue to keep the channels open.

It is also important to point out that this was an icebreaking game and that all groups performed well. Some people don’t like to lose at anything and may be quick to blame other members for not winning.

If time permits, it is good idea to allow groups to discuss the strengths of their effort. The aim here is to help students focus on the “good aspects” of their group and get into the habit of providing encouragement and continuous improvement. For example groups should discuss:

- What aspects of the task they completed most successfully?
- When was “teamwork” evident in the group (e.g. when ideas were expanded by other members helped each other, members provided encouragement or gave praise for a good idea)?
- Which aspects might the group change next time?

You might want to write these questions on the board and have a class discussion after 5-10 minutes.

THINGS TO CONSIDER

Some people take longer than others to “warm up” to working with new people. It is important that this is pointed out to all groups before the exercise begins. Members should not only be paying attention to the task, but also to their fellow group members. Groups need to make sure that everyone is participating (that’s the goal of the exercise). If a member is sitting back, it is important that the other members encourage this person to “have a say” or play an active role (e.g. dispense the masking tape).

T-P Leadership Questionnaire

Directions: The following items describe aspects of leadership behaviour. Respond to each item according to the way you would most likely act if you were the leader of a work group. Check whether you would most likely behave in the described way: **always (A), frequently (F), occasionally (O), seldom (S), or never (N).**

	A	F	O	S	N
1. I would most likely act as the spokesman of the group.					
2. I would encourage overtime work.					
3. I would allow members complete freedom in their work.					
4. I would encourage the use of uniform procedures.					
5. I would permit the members to use their own judgment in solving problems.					
6. I would stress being ahead of competing groups.					
7. I would speak as a representative of the group.					
8. I would needle members for greater effort.					
9. I would try out my ideas in the group.					
10. I would let the members do their work the way they think best.					
11. I would be working hard for a promotion.					
12. I would tolerate postponement and uncertainty.					
13. I would speak for the group if there were visitors present.					
14. I would keep the work moving at a rapid pace.					
15. I would turn the members loose on a job and let them go to it.					
16. I would settle conflicts when they occur in the group.					
17. I would get swamped by details.					
18. I would represent the group at outside meetings.					
19. I would be reluctant to allow the members any freedom of action.					
20. I would decide what should be done and how it should be done.					
21. I would push for increased production.					
22. I would let some members have authority, which I could keep.					
23. Things would usually turn out as I predicted.					
24. I would allow the group a high degree of initiative.					
25. I would assign group members to particular tasks.					
26. I would be willing to make changes.					
27. I would ask the group members to work harder.					
28. I would trust the group members to exercise good judgment.					
29. I would schedule the work to be done.					
30. I would refuse to explain my actions.					
31. I would persuade others that my ideas are to their advantage.					
32. I would permit the group to set its own pace.					
33. I would urge the group to beat its previous record.					
34. I would act without consulting the group.					
35. I would ask that group members follow standard rules and regulations.					

Instructions for Scoring the T_P Leadership Questionnaire

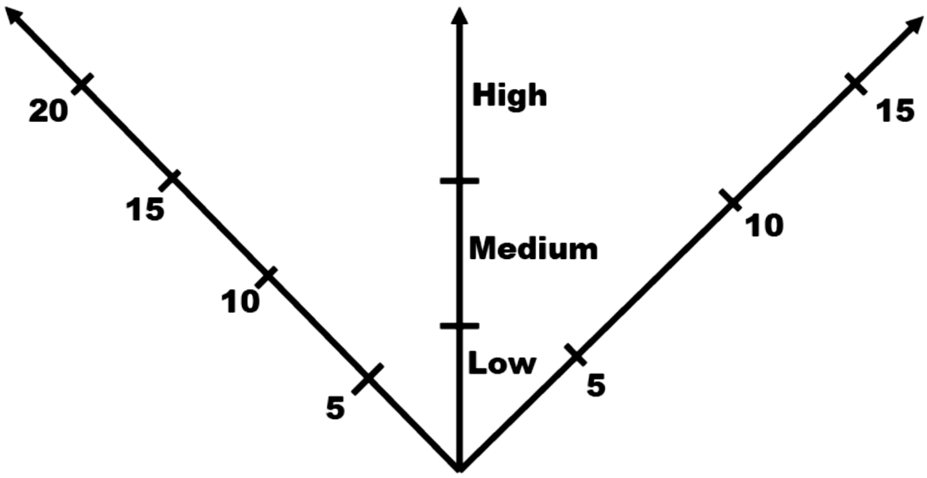
Use the following instructions to determine your score.
1. *Circle* the item number for items 8, 12, 17, 18, 19, 30, 34, and 35.
2. *Write* the number 1 in front of a circled item number if you responded ***S*** (seldom) or ***N*** (never) to that item.
3. Also *write* a number 1 in front of all other item numbers not circled if you responded ***A*** (always) or ***F*** (frequently)
4. *Circle* the number 1's which you have written in front of the following questions: 3, 4, 8, 10, 15, 18, 19, 22, 24, 26, 30, 32, 34, and 35.
5. *Count the circled number 1's*. This is your score for *Concern for People*. Record the score in the blank following the letter **P** at the bottom of the questionnaire.
6. *Count the uncircled number 1's*. This is your score for *Concern for Task*. Record this number in the blank following the letter **T** at the bottom of the questionnaire.
7. Continue to the *Profile Sheet* on the next page.

T-P Leadership-Style Profile Sheet

Now, to determine your style of leadership, mark your score on the *Concern for Task* dimension (T) on the left-hand arrow below. Next, move to the right-hand arrow and mark your score on the *Concern for People* dimension (P). Draw a straight line that intersects the P and T scores. The point at which that line crosses the shared leadership arrow indicates your score on that dimension.

SHARED LEADERSHIP RESULTS FROM BALANCING CONCERN FOR TASK AND CONCERN FOR PEOPLE

Autocratic Leadership High Productivity	**Shared Leadership High Morale**	**Laissez-Faire Leadership High Morale**



Reading Material for Facilitator and participants.

LEADERSHIP

Leadership is an integral part of management and plays a vital role in managerial operations. If there is any single factor that differentiates between successful and unsuccessful organizations, it could be considered as dynamic and effective leadership. Perhaps, it would be a valid assumption to state that the major cause of most business failures would be ineffective leadership. All managers, in a way, are business leaders, even though management primarily relies on formal position power to influence people whereas leadership stems from a social influence process. However, management is an integral component of technical as well as social processes.

A question which many a novice in Management ask and experts echo is whether "Manager" and "Leader" are synonymous terms. Are the functions of the 'Manager' the same as those of the Leader? Are the two roles the same? Or, are they different? If they are – are there or rather aren't there areas of functional similarities? To what extent do they differ in direction and/or magnitude?

Before attempting to answer the million dollar question "Are all leaders managers or are all managers leaders? It will be prudent to clarify the concepts of leadership and management.

An extremely simplistic yet profoundly meaningful definition of leadership states it as the "Phenomenon of one person influencing the thinking or action or both of another person or groups of persons".

Management has been defined in various ways by different authors. In fact, there exists almost as many definitions for management as there are authors on the topic. There is neither the scope nor the need to examine the various definitions of management in this discussion. However, two of them may be considered. One of the earliest universally accepted definitions of management considered it as the "process of getting things done through and by people". One of the modern definitions of management describes it as "the process of ensuring effectiveness and efficiency in achieving goals or objectives".

From the above discussion, it is clear that whenever one influences the thinking or action or both of another person or a group, he/she is a leader and the phenomenon of leadership exists. This is so irrespective of what the "influence" aims or achieves. Even if the followers are "influenced" for some antisocial activities, the phenomenon involved is leadership and the one exhibiting it is a leader. Managers have to influence their "people" for achieving organizational objectives, which, we assume, to be morally right and legally straight.

So, all managers have a leadership role to play. But all that every leader does may not be very "Managerial". In short, all managers are leaders, but all leaders need not necessarily be managers. It should be remembered that this statement is made considering the roles of "leaders" and "managers" and not with reference to any individual with a managerial title or acceptance as a leader.

Categories of leaders: Based on the functions they perform, leaders can be classified into:

(i) Entrepreneurial

(ii) Administrative and

(iii) Political

(i) ***Entrepreneurial Leaders:*** As the term indicates, these are leaders who build organizations, these institution builders perform the tasks of initiation and structuring. They organize the required resources and put them in to effective and efficient use to create institutions of various sizes, nature and scope eg. Trade unions, hospitals, schools, colleges, places of worship, cultural organizations etc.

Entrepreneurial leaders are highly motivated self-starters who can get along reasonably well with a wide range of people with whom they can co-operate and from whom they can get co-operation. They will not be dispirited with setbacks and will not take "no" for an answer.

(ii**)** ***Administrative leaders:*** These are leaders whose performance will be at its peak when they are put in charge of running organizations they work for the maintenance and growth of the organizations, they plan, organize, staff, direct and control the organizations which may be expected to "safe" in their hands. They ensure that right men occupy right positions and that tasks are carried out effective and efficiently. They undertake environmental scanning and do SWOT (Strengths, Weaknesses, Opportunities and Threats) analysis, based on which they define and redefine the mission of their organizations, set targets and objectives and formulate policies and strategies. They have a clear idea of what the organization should be at present and where it should be in the future.

(iii) ***Political leaders:*** By "political leaders" are meant those who act as representatives or spokesmen of their groups and strive for the redressal of the grievances of their groups in general and its members in particular. Many of them act on an 'ad hoc' basis not being very visible normally but appearing on the scene all of a sudden when a problem crops up, the tackling of which requires their attention. They may even leave the scene once the issue has been settled.

Discussion on Leader Categories:

In every individual, all kinds of leadership skills may be present but their relative concentrations vary. The implication for the top management is that organizational success depends on allocating tasks and responsibilities to individuals based on their talents and capabilities. The message for the individual is that one should identify where his/her predominant leadership skills lie and as far as possible try to seek tasks which are in tune with them. When there is little scope for choosing tasks in accordance with ones leadership endowments, developing skills required for the tasks at hand become imperative.

Leadership Styles

Based on "how" a leader performs his/her tasks, various leadership styles can be identified, viz.

authoritarian

(i) - autocratic

paternalistic

(ii) - democratic

(iii) - laissez faire (free rein)

The basis for the above classification is two fold, viz.,

(i) - mode of decision making

(ii) - manner of implementation

(i) Autocratic leadership style : As the term suggests, this is a leader-centred style where followers are reduced to insignificance. The autocratic leadership style itself has two variations, viz., authoritarian and paternalistic.

(a) ***Authoritarian Leadership Style*** : The authoritarian leader takes all decisions by himself/herself and will try to implement them even resorting to the use of force or coercion. The authoritarian leader is only concerned about the "tasks" but not the "people" with whom the tasks have to be achieved. If his/her followers/subordinates approach him/her with a problem, they face in implementing the leaders decisions or carrying out his/her orders, the leader takes the stand, I am not bothered about your problems. You …………… expedite and report".

(b) ***Paternalistic leadership style***: Leaders who exhibit this style assume the parental role for themselves. They also take all decisions like the authoritarian leaders, but when it comes to implementation they resort to tact and diplomacy rather than force and coercion. The paternalistic leader considers his followers as immature children incapable of making decision and needing about the task as well as the people. If subordinates approach a paternalistic leader with their problems, they can expect empathic understanding and consideration. The paternalistic leader may be expected to sit with the subordinates to sort out their proablems and help them reach or identify solutions.

(ii) ***Democratic leadership style:*** The style of leadership which recognises and respects every member of the group or team as an individual with capabilities, rights and responsibilities and a potential contributor to the group processes including task achievements, is called democratic leadership style. Where democratic leadership style is followed, decision making and implementation are consultative and participative processes. It should be appreciated that the situation is not akin to one, where say, in a group of 100, what 51 people suggest is accepted and the opinions and suggestions of the remaining 49 are rejected mercilessly. That at best be termed majocracy. Where democratic leadership style is practised, one is free to express his/her opinions as everybody's opinions and their right to express them are respected. A member gets an opportunity to understand why his/her suggestions are not accepted as the group's decision, even when that is the case. The ultimate group decision is everybody's. When one had a say in the making of a decision, a high level of commitment may be expected to be exhibited by the group members for its achievement.

(iii) ***Laissez faire or free rein leadership style:*** Whether one follows autocracy or democracy as a leadership style, the leader will be performing the basic functions of providing direction and control to the group. The autocratic and democratic leaders differ only in the manner in which they perform the direction and control functions. Apart from this, there are leaders who follow a policy of "no intervention" in group processes. Their style is called "Laissez faire" or "free rein". There are behavioural scientists who even object to considering this as "leadership" as the "leader" does not discharge the basic functions of direction and control. However, one may find many in leadership positions practising this style.

Discussion on Leadership Styles

To decide on the "best leadership style" one has to enumerate the merits and demerits of each, evaluate their effectiveness and efficiency and more than anything else, see whether they deliver the goods". Analysis of the various leadership styles conclusively proves that there does not exist something as the "best" leadership style. If there existed one, it should have proved successful under all circumstances. It can be observed that different leadership styles produce the best results under different conditions and circumstances. That which results in the most favourable and desirable outcome under any particular circumstances is the "right" leadership style in that context. The success of the manager depends on his/her ability to identify the "right" leadership style in that context. The success of the manager depends on his/her ability to identify the "right" leadership style in any given situation and then exhibit enough flexibility and adaptability to practice that style.

Sources of Leader Influence on Followers

What provides a leader with the capacity to influence followers? Why will subordinates respond to the influence attempts of a leader by doing that the leader intends or wishes them to do? In other words, what is the source of the leader's power over subordinates? Five distinct sources of leader power or influence have

been identified. Any particular leader may have at his or her disposal any combination of these different sources of power.

1. ***Reward Power*** refers to the leader's capacity to reward followers. To the extent that a leader possesses and controls rewards that are valued by subordinates, the leader's power increases. Rewards at a leader's disposal fall into two categories. Rewards such as praise, recognition and attention are sources of personal power possessed by the leader as an individual. In addition, a leader also usually controls certain organizational rewards, such as pay raises, promotions and other perquisites. These are sources of power that depend upon the leader's position in the organization.

2. ***Coercive power*** is the flip side of reward power and refers to the leader's capacity to coerce or punish followers. Sources of coercive power also break down into personal and positional components. Leaders personally possess coercive power to the extent that followers experience criticism or lack of recognition from their leader as unpleasant or punishing. In addition, leaders possess coercive power to the extent that their position permits them to administer organizational sources of punishment (such as demotion, with holding of pay increases or firing) to followers.

3. ***Legitimate power*** refer to the power a leader possesses as a result of occupying a particular position or role in the organization. In every organization, certain types of requests and directions issued by leaders to subordinates are viewed to be legitimate and valid. Subordinates are obligated to comply with such requests because of the norms, policies, and procedures accepted as legitimate by all members of the organization. Legitimate power is clearly a function of the leader's position in the organization and is completely independent of any of the leader's personal characteristics.

4. ***Expert power*** refers to power that a leader possesses as a result of his or her knowledge and expertise regarding the tasks to be performed by subordinates. Subordinates are most likely to respond positively to a leader's attempts to influence their behaviour if they view the leader as a competent and in possession of knowledge and information regarding effective task performance that they themselves lack. The possession of expert power by a leader obviously depends upon the personal characteristics of the leader (ie., his or her personal expertise) and is not determined by the formal position that the leader occupies in the organization.

5. ***Referent power*** is dependent upon the extent to which subordinates identify with, look up to and wish to emulate the leader. The more that subordinates admire and identify with the leaders, the greater the leader's referent power over subordinates. Referent power, like expert power, is totally dependent upon the personal characteristics of the leader and does not depend directly upon the leader's formal organizational position.

Current Issues in Leadership

In addition to focusing on the different powers discussed above, leadership researchers have also recently identified a number of new and important issues that deserve our attention.

Leadership as Mutual Influence

The very term leadership naturally serves to draw our attention to leaders themselves and focuses our interest on the ways in which leaders influence their followers. As a result, research on leadership has tried to understand how different types of leaders and different types of leader behaviours cause follower to react in different ways. An important contribution of recent research on leadership has been to point out the short-sightedness of this view of leader-follower relations. While it is no doubt true that leaders can and do influence their followers, it is also true that leaders and followers engage in interaction with one another, which necessarily implies the existence of mutual influence. In other words, not only is it true that leaders influence followers, but it is equally true that followers influence leaders.

Constraints on Leadership Behaviour

In thinking about leadership as mutual influence process we are taking in to account the fact that the behaviour of subordinates has a casual influence upon the behaviour of the leader. In other words, leaders do not decide how they are going to behave in total isolation from their subordinates. Leader must select and adjust their leadership style in light of how their subordinates are performing and responding. But acknowledging that the behaviour of subordinates can influence how leaders behave raises the question of what other factors may be influencing and constraining what leaders do. In fact, it turns out that leaders are far from totally free and unencumbered in choosing their leadership style.

Subordinate Behaviour

As was pointed out in our discussion of leadership as a mutual influence process, the evidence is quite clear that the performance of subordinates has a critical casual impact upon that a leader does and how he or she behaves toward followers.

Characteristics of Subordinates

In addition to what subordinates do and how they perform, other identifiable traits, or characteristics, of subordinates may influence the leader's behaviour as well as the behaviour of the subordinates themselves. For example, a leader may behave differently toward males and females, older and younger people, and those with similar as opposed to different personal backgrounds from his or her own.

Characteristics of the Leader

The leader's abilities and personal characteristics obviously influence and constrain what the leader does and how he or she behaves toward subordinates. On the ability side, task relevant knowledge and skill, as well as supervisory skills and sensitivities, will have an important impact. In terms of trait, personality characteristics such as assertiveness, dominance, and self-confidence all have an influence on leadership behaviour.

Leaders Superiors

How leaders treat their subordinates is strongly influenced by how the leaders themselves are treated by their own immediate superiors. Superiors serve both as role models for the leadership behaviour of individuals toward their own subordinates and as sources of rewards and punishments. Leaders with immediate superiors who preach, practice, and reward a participative management style, for example, are unlikely to treat their subordinates in a directive and authoritarian fashion.

Leaders Peers

As in almost all thing, peers have an important influence upon how leaders behave. Peer pressure has a potent homogenizing impact upon leadership behaviour in an organization. Other managers in an organisation ar likely to exert both direct and indirect pressure on individual leaders to behave toward their subordinates in a fashion that is consistent with that practised by other managers at that level in the organisation.

Organizational Policies, Norms and Climate

Some organizations are characterised by a very open, democratic, and participative management style. Such an organizational climate and policy ill obviously influence a leader to behave as a participative manager. Very different leadership behaviours would be expected in an organization characterised by a very closed and authoritarian policy of management.

Nature of Subordinates – Tasks

The nature of the tasks that subordinates are performing also influences the behaviour of leaders toward subordinates. A very vague and ambiguous task such as developing the design of a new product from scratch is bound to elicit different types of leadership behaviour than is a highly structured and routine task such as producing a particular number of units on an assembly line.

SLIDES

Slides have been prepared based on the above material.

Day I (Afternoon) Introduction to Emotional Intelligence

Session-at-a-Glance

Session Plan	Session Structure	Teaching Methods	Time
Learning Objective: To enable participants to become more sensitive to their own needs and needs of others. It will deepen participant's knowledge of how emotions affect behaviour and using these knowledge in developing effective natural leadership skills. **Resources required:** • Projector and computer • Flipcharts, marker pens • PowerPoint Slides		Exercise Lecture Questionnaire 1 Distribute Article 1&2 Questionnaire 2 Video Clip 1&2 Movie	5 min 20 min 10 min 5 min 10 min 20 min 110 min.
			180 min

Instructor Guide

Begin by distributing the '**HOW DO YOU FEEL NOW**' questionnaire and ask the participants to circle their choice. Ask if the participants found it difficult to map their exact feeling in the exercise sheet.

Now ask the participants if they have had a day when *nothing seem to go right* or that *everything seem to go right*. How did they feel about those days? Why did they thing their day went in that particular way?

Has it ever happened that someone at work treats you bad, you become angry or irritated and when you reach home you lash out at your spouse or some other family member? Alternately, you were irritated at home but got angry and scolded a subordinate?

Explain different type of Intelligence and introduce the concepts of Emotional Intelligence using the slides.

Give the **Questionnaire 1** and ask the participants to complete it. *Ask them to share their findings only if they so wishes.*

Distribute **ARTICLE – 1, 2 & 3**

Tell class that throughout the 5 days we will be doing several Questionnaires/exercises/games etc. most of which will help us in self-awareness process. However, improving ourselves is really in our hands. Interestingly, while cognitive intelligence remains at the same level during our life time EI could be developed over time and retained.

Give the **Questionnaire 2** and ask the participants to complete it. Tell them that this is part of exercise in self-awareness. *Ask them to share their findings only if they so wishes.*

Now tell the participants that we will see some short clips that will enable us to understand others. Show the video clips 1 and 2. The video clip 1 tells us about our Gestures and Body Language and what they convey. The video clip 2 is about Human Emotions and Facial Expressions and how to recognise them. Also mention that there are 4 additional Videos that they may watch on their own time.

1. Additional Video 1 - Gestures and Body Language Tutorial
2. Additional Video 2 - Get People to Like you - How to Win Friends Influence
3. Additional video 3 - How to Win an Argument
4. Additional Video 4 -Daniel Goleman Explains Emotional Intelligence

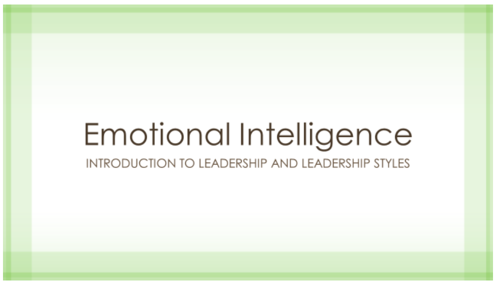
After the video clips, announce now we would be seeing the movie. Mention that the purpose of the movies is to help the participants get an insight as to how natural leaders achieve objectives by persuasion, logic and by controlling their own emotions. Also mention that the participants may try to understand how our emotions often drive their behaviour.

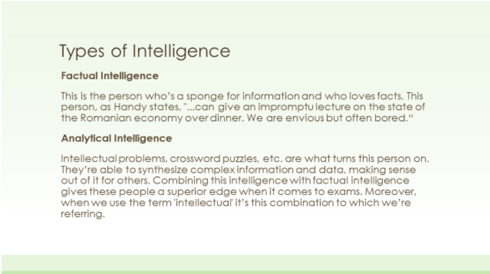
After movie distribute the material '***Characters analysis: ek-ruka-hua-faisla***'.

Distribute "PATH TO IMPROVEMENT"

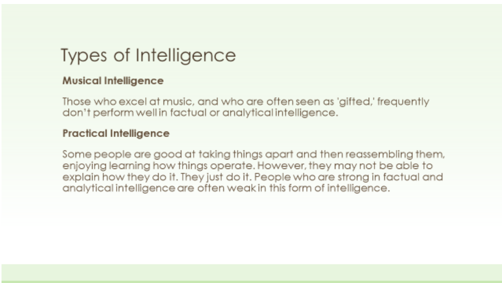
Exercise: How are you feeling now?

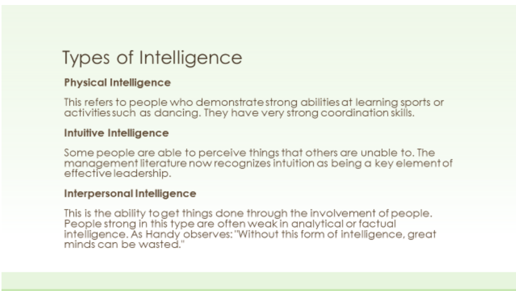
SLIDES

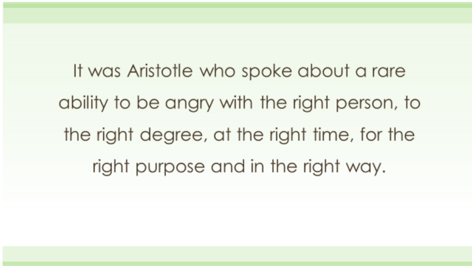

Emotional Intelligence
INTRODUCTION TO LEADERSHIP AND LEADERSHIP STYLES

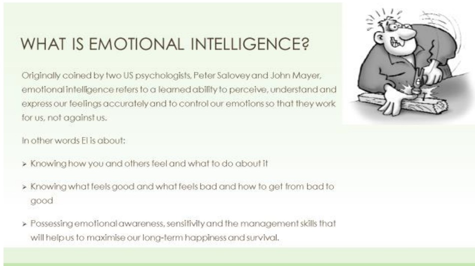

Types of Intelligence
Factual Intelligence
This is the person who's a sponge for information and who loves facts. This person, as Handy states, "...can give an impromptu lecture on the state of the Romanian economy over dinner. We are envious but often bored."
Analytical Intelligence
Intellectual problems, crossword puzzles, etc. are what turns this person on. They're able to synthesize complex information and data, making sense out of it for others. Combining this intelligence with factual intelligence gives these people a superior edge when it comes to exams. Moreover, when we use the term 'intellectual' it's this combination to which we're referring.

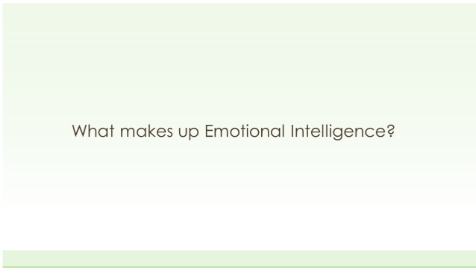

Types of Intelligence
Linguistic Intelligence
Some people learn new languages quickly and easily. They master not just the vocabulary and conjugation, but they learn correct pronunciation . This intelligence is not necessarily connected to the first two.
Spatial Intelligence
This is a very different form because it involves the ability to see patterns in things. People who are typically strong in this intelligence include artists, mathematicians, designers, and entrepreneurs. There is no correlation between this type and the first two types, which is why entrepreneurs, for example, often do poorly at school.

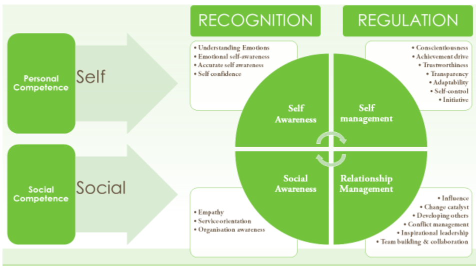

Types of Intelligence
Musical Intelligence
Those who excel at music, and who are often seen as 'gifted,' frequently don't perform well in factual or analytical intelligence.
Practical Intelligence
Some people are good at taking things apart and then reassembling them, enjoying learning how things operate. However, they may not be able to explain how they do it. They just do it. People who are strong in factual and analytical intelligence are often weak in this form of intelligence.

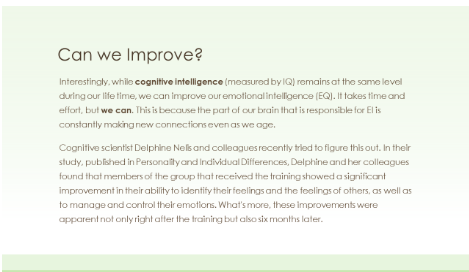

Types of Intelligence
Physical Intelligence
This refers to people who demonstrate strong abilities at learning sports or activities such as dancing. They have very strong coordination skills.
Intuitive Intelligence
Some people are able to perceive things that others are unable to. The management literature now recognizes intuition as being a key element of effective leadership.
Interpersonal Intelligence
This is the ability to get things done through the involvement of people. People strong in this type are often weak in analytical or factual intelligence. As Handy observes: "Without this form of intelligence, great minds can be wasted."


It was Aristotle who spoke about a rare ability to be angry with the right person, to the right degree, at the right time, for the right purpose and in the right way.


WHAT IS EMOTIONAL INTELLIGENCE?
Originally coined by two US psychologists, Peter Salovey and John Mayer, emotional intelligence refers to a learned ability to perceive, understand and express our feelings accurately and to control our emotions so that they work for us, not against us.
In other words EI is about:
➢ Knowing how you and others feel and what to do about it
➢ Knowing what feels good and what feels bad and how to get from bad to good
➢ Possessing emotional awareness, sensitivity and the management skills that will help us to maximise our long-term happiness and survival.


What makes up Emotional Intelligence?


RECOGNITION
REGULATION
Personal Competence
Self
Social Competence
Social
• Understanding Emotions
• Emotional self-awareness
• Accurate self awareness
• Self confidence
• Conscientiousness
• Achievement drive
• Trustworthiness
• Transparency
• Adaptability
• Self-control
• Initiative
Self Awareness
Self management
Social Awareness
Relationship Management
• Empathy
• Service orientation
• Organisation awareness
• Influence
• Change catalyst
• Developing others
• Conflict management
• Inspirational leadership
• Team building & collaboration


Can we Improve?
Interestingly, while cognitive intelligence (measured by IQ) remains at the same level during our life time, we can improve our emotional intelligence (EQ). It takes time and effort, but we can. This is because the part of our brain that is responsible for EI is constantly making new connections even as we age.
Cognitive scientist Delphine Nelis and colleagues recently tried to figure this out. In their study, published in Personality and Individual Differences, Delphine and her colleagues found that members of the group that received the training showed a significant improvement in their ability to identify their feelings and the feelings of others, as well as to manage and control their emotions. What's more, these improvements were apparent not only right after the training but also six months later.

Questionnaire 1

Emotional intelligence questionnaire

This self-assessment questionnaire is designed to get you thinking about the various competences of emotional intelligence as they apply to you.

Daniel Goleman first brought 'emotional intelligence' to a wide audience with his 1995 book of that name. He found that while the qualities traditionally associated with leadership such as intelligence, toughness, determination and vision are required for success, they are insufficient. Truly effective leaders are also distinguished by a high degree of emotional intelligence, which includes:

- **Self-awareness**

The ability to recognise what you are feeling, to understand your habitual emotional responses to events and to recognise how your emotions affect your behaviour and performance.

When you are self-aware, you see yourself as others see you, and have a good sense of your own abilities and current limitations.

- **Managing emotions**

The ability to stay focused and think clearly even when experiencing powerful emotions.

Being able to manage your own emotional state is essential for taking responsibility for your actions, and can save you from hasty decisions that you later regret.

- **Motivating oneself**

The ability to use your deepest emotions to move and guide you towards your goals. This ability enables you to take the initiative and to persevere in the face of obstacles and setbacks.

- **Empathy**

The ability to sense, understand and respond to what other people are feeling.

Self-awareness is essential to having empathy with others. If you are not aware of your own emotions, you will not be able to read the emotions of others.

- **Social Skill**

The ability to manage, influence and inspire emotions in others.

Being able to handle emotions in relationships and being able to influence and inspire others are essential foundation skills for successful teamwork and leadership.

What to do

1. ***Assess and score*** each of the questionnaire's statements.

   Score your assessment, using a scale where

   - **1** indicates that the statement ***does NOT apply at all***
   - **3** indicates that the statement ***applies about half the time***
   - **5** indicates that the statement ***ALWAYS applies to you***

2. ***Total and interpret your results***

   - Transfer your scores to the calculation table and total your results.

Remember, this tool is not a validated psychometric test - the answers you give are likely to vary depending on your mood when you take it.

3. ***Consider your results and identify one or two actions you can take immediately to strengthen*** your ***emotional intelligence***.

	How much does each statement apply to you	Mark your score				
	Read each statement and decide how strongly the statement applies to you. Score yourself 1 to 5 based on the following guide. **1 = Does not apply ~ 3 = Applies half the time ~ 5 = Always applies**	**Circle the number that shows how strongly the statement applies**				
1.	I realise immediately when I lose my temper	1	2	3	4	5
2.	I can 'reframe' bad situations quickly	1	2	3	4	5
3.	I am able to always motive myself to do difficult tasks	1	2	3	4	5
4.	I am always able to see things from the other person's viewpoint	1	2	3	4	5
5.	I am an excellent listener	1	2	3	4	5
6.	I know when I am happy	1	2	3	4	5
7.	I do not wear my 'heart on my sleeve'	1	2	3	4	5
8.	I am usually able to prioritise important activities at work and get on with them	1	2	3	4	5
9.	I am excellent at empathising with someone else's problem	1	2	3	4	5
10.	I never interrupt other people's conversations	1	2	3	4	5
11.	I usually recognise when I am stressed	1	2	3	4	5
12.	Others can rarely tell what kind of mood I am in	1	2	3	4	5
13.	I always meet deadlines	1	2	3	4	5
14.	I can tell if someone is not happy with me	1	2	3	4	5
15.	I am good at adapting and mixing with a variety of people	1	2	3	4	5
16.	When I am being 'emotional' I am aware of this	1	2	3	4	5
17.	I rarely 'fly off the handle' at other people	1	2	3	4	5
18.	I never waste time	1	2	3	4	5
19.	I can tell if a team of people are not getting along with each other	1	2	3	4	5
20.	People are the most interesting thing in life for me	1	2	3	4	5
21.	When I feel anxious I usually can account for the reason(s)	1	2	3	4	5
22.	Difficult people do not annoy me	1	2	3	4	5
23.	I do not prevaricate (evade)	1	2	3	4	5

	How much does each statement apply to you	Mark your score				
	Read each statement and decide how strongly the statement applies to you. Score yourself 1 to 5 based on the following guide. **1 = Does not apply ~ 3 = Applies half the time ~ 5 = Always applies**	**Circle the number that shows how strongly the statement applies**				
24.	I can usually understand why people are being difficult towards me	1	2	3	4	5
25.	I love to meet new people and get to know what makes them 'tick'	1	2	3	4	5
26.	I always know when I'm being unreasonable	1	2	3	4	5
27.	I can consciously alter my frame of mind or mood	1	2	3	4	5
28.	I believe you should do the difficult things first	1	2	3	4	5
29.	Other individuals are not 'difficult' just 'different'	1	2	3	4	5
30.	I need a variety of work colleagues to make my job interesting	1	2	3	4	5
31.	Awareness of my own emotions is very important to me at all times	1	2	3	4	5
32.	I do not let stressful situations or people affect me once I have left work	1	2	3	4	5
33.	Delayed gratification is a virtue that I hold to	1	2	3	4	5
34.	I can understand if I am being unreasonable	1	2	3	4	5
35.	I like to ask questions to find out what it is important to people	1	2	3	4	5
36.	I can tell if someone has upset or annoyed me	1	2	3	4	5
37.	I rarely worry about work or life in general	1	2	3	4	5
38.	I believe in 'Action this Day'	1	2	3	4	5
39.	I can understand why my actions sometimes offend others	1	2	3	4	5
40.	I see working with difficult people as simply a challenge to win them over	1	2	3	4	5
41.	I can let anger 'go' quickly so that it no longer affects me	1	2	3	4	5
42.	I can suppress my emotions when I need to	1	2	3	4	5
43.	I can always motivate myself even when I feel low	1	2	3	4	5
44.	I can sometimes see things from others' point of view	1	2	3	4	5
45.	I am good at reconciling differences with other people	1	2	3	4	5
46.	I know what makes me happy	1	2	3	4	5
47.	Others often do not know how I am feeling about things	1	2	3	4	5

48.	Motivations has been the key to my success	1	2	3	4	5
49.	Reasons for disagreements are always clear to me	1	2	3	4	5
50.	I generally build solid relationships with those I work with	1	2	3	4	5

Total and interpret your results

1. ***Record*** your 1, 2, 3, 4, 5 scores for the questionnaire statements in the grid below. The grid organises the statements into emotional competency lists.

Self-awareness		Managing emotions		Motivating oneself		Empathy		Social Skill	
1		2		3		4		5	
6		7		8		9		10	
12		13		13		14		15	
17		18		18		19		20	
22		23		23		24		25	
27		28		28		29		30	
32		33		33		34		35	
37		38		38		39		40	
42		43		43		44		45	
47		48		48		49		50	

2. ***Calculate*** a total for each of the 5 emotional competencies.

Total = (SA)		**Total = (ME)**		**Total = (MO)**		**Total = (E)**		**Total = (SS)**	

3. ***Interpret*** your totals for each area of competency using the following guide.

35-50	This area is a ***strength*** for you.
18-34	***Giving attention*** to where you feel you are weakest will pay dividends.
10-17	Make this area a ***development priority***.

4. ***Record*** your result for each of the emotional competencies: strength, needs attention or development priority.

	Strength	Needs attention	Development priority
Self-awareness			
Managing emotions			
Motivating oneself			
Empathy			
Social Skill			

5. ***Consider*** your results and identify one or two actions you can take immediately to strengthen your ***emotional intelligence***.

Article 1, 2 & 3

What Makes a Leader?[1]

Daniel Goleman

IQ and technical skills are important, but emotional intelligence is the sine qua non of leadership.

It was Daniel Goleman who first brought the term "emotional intelligence" to a wide audience with his 1995 book of that name, and it was Goleman who first applied the concept to business with his 1998 HBR article, reprinted here. In his research at nearly 200 large, global companies, Goleman found that while the qualities traditionally associated with leadership—such as intelligence, toughness, determination, and vision—are required for success, they are insufficient. Truly effective leaders are also distinguished by a high degree of emotional intelligence, which includes self-awareness, self-regulation, motivation, empathy, and social skill.

These qualities may sound "soft" and unbusiness like, but Goleman found direct ties between emotional intelligence and measurable business results. While emotional intelligence's relevance to business has continued to spark debate over the past six years, Goleman's article remains the definitive reference on the subject, with a description of each component of emotional intelligence and a detailed discussion of how to recognize it in potential leaders, how and why it connects to performance, and how it can be learned.

Every businessperson knows a story about a highly intelligent, highly skilled executive who was promoted into a leadership position only to fail at the job. And they also know a story about someone with solid—but not extraordinary—intellectual abilities and technical skills who was promoted into a similar position and then soared.

Such anecdotes support the widespread belief that identifying individuals with the "right stuff" to be leaders is more art than science. After all, the personal styles of superb leaders vary: Some leaders are subdued and analytical; others shout their manifestos from the mountaintops. And just as important, different situations call for different types of leadership. Most mergers need a sensitive negotiator at the helm, whereas many turnarounds require a more forceful authority.

I have found, however, that the most effective leaders are alike in one crucial way: They all have a high degree of what has come to be known as emotional intelligence. It's not that IQ and technical skills are irrelevant. They do matter, but mainly as "threshold capabilities"; that is, they are the entry-level requirements for executive positions. But my research, along with other recent studies, clearly shows that emotional intelligence is the sine qua non of leadership. Without it, a person can have the best training in the world, an incisive, analytical mind, and an endless supply of smart ideas, but he still won't make a great leader. In the course of the past year, my colleagues and I have focused on how emotional intelligence operates at work. We have examined the relationship between emotional intelligence and effective performance, especially in leaders. And we have observed how emotional intelligence shows itself on the job. How can you tell if someone has high emotional intelligence, for example, and how can you recognize it in yourself?

[1] Harvard Business Review November-December 1998

In the following pages, we'll explore these questions, taking each of the components of emotional intelligence— self-awareness, self-regulation, motivation, empathy, and social skill—in turn.

Evaluating Emotional Intelligence

Most large companies today have employed trained psychologists to develop what are known as "competency models" to aid them in identifying, training, and promoting likely stars in the leadership firmament. The psychologists have also developed such models for lower-level positions. And in recent years, I have analysed competency models from 188 companies, most of which were large and global and included the likes of Lucent Technologies, British Airways, and Credit Suisse.

In carrying out this work, my objective was to determine which personal capabilities drove outstanding performance within these organizations, and to what degree they did so. I grouped capabilities into three categories: purely technical skills like accounting and business planning; cognitive abilities like analytical reasoning; and competencies demonstrating emotional intelligence, such as the ability to work with others and effectiveness in leading change. To create some of the competency models, psychologists asked senior managers at the companies to identify the capabilities that typified the organization's most outstanding leaders.

To create other models, the psychologists used objective criteria, such as a division's profitability, to differentiate the star performers at senior levels within their organizations from the average ones. Those individuals were then extensively interviewed and tested, and their capabilities were compared. This process resulted in the creation of lists of ingredients for highly effective leaders. The lists ranged in length from seven to 15 items and included such ingredients as initiative and strategic vision.

When I analysed all this data, I found dramatic results. To be sure, intellect was a driver of outstanding performance. Cognitive skills such as big-picture thinking and long-term vision were particularly important. But when I calculated the ratio of technical skills, IQ, and emotional intelligence as ingredients of excellent performance, emotional intelligence proved to be twice as important as the others for jobs at all levels.

Moreover, my analysis showed that emotional intelligence played an increasingly important role at the highest levels of the company, where differences in technical skills are of negligible importance. In other words, the higher the rank of a person considered to be a star performer, the more emotional intelligence capabilities showed up as the reason for his or her effectiveness. When I compared star performers with average ones in senior leadership positions, nearly 90% of the difference in their profiles was attributable to emotional intelligence factors rather than cognitive abilities.

Other researchers have confirmed that emotional intelligence not only distinguishes outstanding leaders but can also be linked to strong performance. The findings of the late David McClelland, the renowned researcher in human and organizational behaviour, are a good example. In a 1996 study of a global food and beverage company, McClelland found that when senior managers had a critical mass of emotional intelligence capabilities, their divisions outperformed yearly earnings goals by 20%. Meanwhile, division leaders without that critical mass underperformed by almost the same amount. McClelland's findings, interestingly, held as true in the company's U.S. divisions as in its divisions in Asia and Europe.

In short, the numbers are beginning to tell us a persuasive story about the link between a company's success and the emotional intelligence of its leaders. And just as important, research is also demonstrating that people can, if they take the right approach, develop their emotional intelligence. (See the sidebar "Can Emotional Intelligence Be Learned?")

The Five Components of Emotional Intelligence at Work

	Definition	Hallmarks
Self-Awareness	– the ability to recognize and understand your moods, emotions, and drives, as well as their effect on others	– self-confidence – realistic self-assessment – self-deprecating sense of humour
Self-Regulation	– the ability to control or redirect disruptive impulses and moods – the propensity to suspend judgment – to think before acting	– trustworthiness and integrity – comfort with ambiguity – openness to change
Motivation	– a passion to work for reasons that go beyond money or status – a propensity to pursue goals with energy and persistence	– strong drive to achieve – optimism, even in the face of failure – organizational commitment
Empathy	– the ability to understand the emotional makeup of other people – skill in treating people according to their emotional reactions	– expertise in building and retaining talent – cross-cultural sensitivity – service to clients and customers
Social Skill	– proficiency in managing relationships and building networks – an ability to find common ground and build rapport	– effectiveness in leading change – persuasiveness – expertise in building and leading teams

Self-Awareness

Self-awareness is the first component of emotional intelligence—which makes sense when one considers that the Delphic oracle gave the advice to "know thyself" thousands of years ago. Self-awareness means having a deep understanding of one's emotions, strengths, weaknesses, needs, and drives.

People with strong self-awareness are neither overly critical nor unrealistically hopeful. Rather, they are honest— with themselves and with others. People who have a high degree of self-awareness recognize how their feelings affect them, other people, and their job performance. Thus, a self-aware person who knows that tight deadlines bring out the worst in him plans his time carefully and gets his work done well in advance. Another person with high self-awareness will be able to work with a demanding client. She will understand the client's impact on her moods and the deeper reasons for her frustration. "Their trivial demands take us away from the real work that needs to be done," she might explain. And she will go one step further and turn her anger into something constructive.

Self-awareness extends to a person's understanding of his or her values and goals. Someone who is highly self-aware knows where he is headed and why; so, for example, he will be able to be firm in turning down a job offer that is tempting financially but does not fit with his principles or long-term goals. A person who lacks self-awareness is apt to make decisions that bring on inner turmoil by treading on buried values. "The money looked good so I signed on," someone might say two years into a job, "but the work means so little to me that I'm constantly bored." The decisions of self-aware people mesh with their values; consequently, they often find work to be energizing.

Can Emotional Intelligence Be Learned?

For ages, people have debated if leaders are born or made. So too goes the debate about emotional intelligence. Are people born with certain levels of empathy, for example, or do they acquire empathy as a result of life's experiences? The answer is both. Scientific inquiry strongly suggests that there is a genetic component to emotional intelligence. Psychological and developmental research indicates that nurture plays a role as well. How much of each perhaps will never be known, but research and practice clearly demonstrate that emotional intelligence can be learned.

One thing is certain: Emotional intelligence increases with age. There is an old-fashioned word for the phenomenon: maturity. Yet even with maturity, some people still need training to enhance their emotional intelligence. Unfortunately, far too many training programs that intend to build leadership skills—including emotional intelligence—are a waste of time and money. The problem is simple: They focus on the wrong part of the brain.

Emotional intelligence is born largely in the neurotransmitters of the brain's limbic system, which governs feelings, impulses, and drives. Research indicates that the limbic system learns best through motivation, extended practice, and feedback. Compare this with the kind of learning that goes on in the neocortex, which governs analytical and technical ability.

The neocortex grasps concepts and logic. It is the part of the brain that figures out how to use a computer or make a sales call by reading a book. Not surprisingly—but mistakenly—it is also the part of the brain targeted by most training programs aimed at enhancing

How can one recognize self-awareness? First and foremost, it shows itself as candour and an ability to assess oneself realistically. People with high self-awareness are able to speak accurately and openly—although not necessarily effusively or confessionally—about their emotions and the impact they have on their work.

For instance, one manager I know of was sceptical about a new personal-shopper service that her company, a major department-store chain, was about to introduce. Without prompting from her team or her boss, she offered them an explanation: "It's hard for me to get behind the rollout of this service," she admitted, "because I really wanted to run the project, but I wasn't selected. Bear with me while I deal with that." The manager did indeed examine her feelings; a week later, she was supporting the project fully. Such self-knowledge often shows itself in the hiring process. Ask a candidate to describe a time he got carried away by his feelings and did something he later regretted. Self-aware candidates will be frank in admitting to failure— and will often tell their tales with a smile. One of the hallmarks of self-awareness is a self-deprecating sense of humour.

Self-awareness can also be identified during performance reviews. Self-aware people know— and are comfortable talking about—their limitations and strengths, and they often demonstrate a thirst for constructive criticism. By contrast, people with low self-awareness interpret the message that they need to improve as a threat or a sign of failure.

Self-aware people can also be recognized by their self-confidence. They have a firm grasp of their capabilities and are less likely to set themselves up to fail by, for example, overstretching on assignments. They know, too, when to ask for help. And the risks they take on the job are calculated. They won't ask for a challenge that they know they can't handle alone. They'll play to their strengths.

Consider the actions of a midlevel employee who was invited to sit in on a strategy meeting with her company's top executives. Although she was the most junior person in the room, she did not sit there quietly, listening in awestruck or fearful silence. She knew she had a head for clear logic and the skill to present ideas persuasively, and she offered cogent suggestions about the company's strategy. At the same time, her self-awareness stopped her from wandering into territory where she knew she was weak.

Despite the value of having self-aware people in the workplace, my research indicates that senior executives don't often give self-awareness the credit it deserves when they look for potential leaders. Many executives mistake candour about feelings for "wimpiness" and fail to give due respect to employees who openly acknowledge their shortcomings. Such people are too readily dismissed as "not tough enough" to lead others.

In fact, the opposite is true. In the first place, people generally admire and respect candour. Furthermore, leaders are constantly required to make judgment calls that require a candid assessment of capabilities—their own and those of others. Do we have the management expertise to acquire a competitor? Can we launch a new product within six months? People who assess themselves honestly—that is, self-aware people—are well suited to do the same for the organizations they run.

Self-Regulation

Biological impulses drive our emotions. We cannot do away with them—but we can do much to manage them. Self-regulation, which is like an ongoing inner conversation, is the component of emotional intelligence that frees us from being prisoners of our feelings. People engaged in such a conversation feel bad moods and

emotional intelligence. When such programs take, in effect, a neocortical approach, my research with the Consortium for Research on Emotional Intelligence in Organizations has shown they can even have a *negative* impact on people's job performance.

To enhance emotional intelligence, organizations must refocus their training to include the limbic system. They must help people break old behavioural habits and establish new ones. That not only takes much more time than conventional training programs, it also requires an individualized approach.

Imagine an executive who is thought to be low on empathy by her colleagues. Part of that deficit shows itself as an inability to listen; she interrupts people and doesn't pay close attention to what they're saying. And the executive could be directed to observe certain executives who listen well and to mimic their behaviour.

With persistence and practice, such a process can lead to lasting results. I know one Wall Street executive who sought to improve his empathy—specifically his ability to read people's reactions and see their perspectives. Before beginning his quest, the executive's subordinates were terrified of working with him. People even went so far as to hide bad news from him. Naturally, he was shocked when finally confronted with these facts. He went home and told his family—but they only confirmed what he had heard at work. When their opinions on any given subject did not mesh with his, they, too, were frightened of him.

Enlisting the help of a coach, the executive went to work to heighten his empathy through practice and feedback. His first step was to take a vacation to a foreign country where he did not speak the language. While there, he monitored his reactions to the unfamiliar and his openness to people who were different from him. When he returned home, humbled by his week abroad, the executive asked his coach to shadow him for parts of the day, several times a week, to critique how he treated people with new or different perspectives. At the same time, he consciously used on-the-job interactions as opportunities to practice "hearing" ideas that differed from his. Finally, the executive had himself videotaped in meetings and asked those who worked for and with him to critique his ability to acknowledge and understand the feelings of others. It took several months, but the executive's emotional intelligence did ultimately rise, and the improvement was reflected in his overall performance on the job.

It's important to emphasize that building one's emotional intelligence cannot—will not—happen without sincere desire and concerted effort. A brief seminar won't help; nor can one buy a how-to manual. It is much harder to learn to empathize—to internalize empathy as a natural response to people— than it is to become adept at regression analysis. But it can be done. "Nothing great was ever achieved without enthusiasm," wrote Ralph Waldo Emerson. If your goal is to become a real leader, these words can serve as a guidepost in your efforts to develop high emotional intelligence.

emotional impulses just as everyone else does, but they find ways to control them and even to channel them in useful ways.

Imagine an executive who has just watched a team of his employees present a botched analysis to the company's board of directors. In the gloom that follows, the executive might find himself tempted to pound on the table in anger or kick over a chair. He could leap up and scream at the group. Or he might maintain a grim silence, glaring at everyone before stalking off.

But if he had a gift for self-regulation, he would choose a different approach. He would pick his words carefully, acknowledging the team's poor performance without rushing to any hasty judgment. He would then step back to consider the reasons for the failure. Are they personal—a lack of effort? Are there any mitigating factors? What was his role in the debacle? After considering these questions, he would call the team together, lay out the incident's consequences, and offer his feelings about it. He would then present his analysis of the problem and a well-considered solution.

Why does self-regulation matter so much for leaders? First of all, people who are in control of their feelings and impulses—that is, people who are reasonable—are able to create an environment of trust and fairness. In such an environment, politics and infighting are sharply reduced and productivity is high. Talented people flock to the organization and aren't tempted to leave. And self-regulation has a trickle-down effect. No one wants to be known as a hothead when the boss is known for her calm approach. Fewer bad moods at the top mean fewer throughout the organization.

Second, self-regulation is important for competitive reasons. Everyone knows that business today is rife with ambiguity and change. Companies merge and break apart regularly. Technology transforms work at a dizzying pace. People who have mastered their emotions are able to roll with the changes. When a new program is announced, they don't panic; instead, they are able to suspend judgment, seek out information, and listen to the executives as they explain the new program. As the initiative moves forward, these people are able to move with it.

Sometimes they even lead the way. Consider the case of a manager at a large manufacturing company. Like her colleagues, she had used a certain software program for five years. The program drove how she collected and reported data and how she thought ab out the company's strategy. One day, senior executives announced that a new program was to be installed that would radically change how information was gathered and assessed within the organization. While many people in the company complained bitterly about how disruptive the change would be, the manager mulled over the reasons for the new program and was convinced of its potential to improve performance. She eagerly attended training sessions— some of her colleagues refused to do so—and was eventually promoted to run several divisions, in part because she used the new technology so effectively.

I want to push the importance of self-regulation to leadership even further and make the case that it enhances integrity, which is not only a personal virtue but also an organizational strength. Many of the bad things that happen in companies are a function of impulsive behaviour. People rarely plan to exaggerate profits, pad expense accounts, dip into the till, or abuse power for selfish ends. Instead, an opportunity presents itself, and people with low impulse control just say yes.

By contrast, consider the behaviour of the senior executive at a large food company. The executive was scrupulously honest in his negotiations with local distributors. He would routinely lay out his cost structure in detail, thereby giving the distributors a realistic understanding of the company's pricing. This approach meant the executive couldn't always drive a hard bargain. Now, on occasion, he felt the urge to increase profits by withholding information about the company's costs. But he challenged that impulse—he saw that it made more sense in the long run to counteract it. His emotional self-regulation paid off in strong, lasting relationships with distributors that benefited the company more than any short-term financial gains would have.

The signs of emotional self-regulation, therefore, are easy to see: a propensity for reflection and thoughtfulness; comfort with ambiguity and change; and integrity—an ability to say no to impulsive urges.

Like self-awareness, self-regulation often does not get its due. People who can master their emotions are sometimes seen as cold fish— their considered responses are taken as a lack of passion. People with fiery temperaments are frequently thought of as "classic" leaders— their outbursts are considered hallmarks of charisma and power. But when such people make it to the top, their impulsiveness often works against them. In my research, extreme displays of negative emotion have never emerged as a driver of good leadership.

Motivation

If there is one trait that virtually all effective leaders have, it is motivation. They are driven to achieve beyond expectations—their own and everyone else's. The key word here is *achieve*. Plenty of people are motivated by external factors, such as a big salary or the status that comes from having an impressive title or being part of a prestigious company. By contrast, those with leadership potential are motivated by a deeply embedded desire to achieve for the sake of achievement.

If you are looking for leaders, how can you identify people who are motivated by the drive to achieve rather than by external rewards? The first sign is a passion for the work itself—such people seek out creative challenges, love to learn, and take great pride in a job well done. They also display an unflagging energy to do things better. People with such energy often seem restless with the status quo. They are persistent with their questions about why things are done one way rather than another; they are eager to explore new approaches to their work.

A cosmetics company manager, for example, was frustrated that he had to wait two weeks to get sales results from people in the field. He finally tracked down an automated phone system that would beep each of his salespeople at 5 pm every day. An automated message then prompted them to punch in their numbers— how many calls and sales they had made that day. The system shortened the feedback time on sales results from weeks to hours.

That story illustrates two other common traits of people who are driven to achieve. They are forever raising the performance bar, and they like to keep score. Take the performance bar first. During performance reviews, people with high levels of motivation might ask to be "stretched" by their superiors. Of course, an employee who combines self-awareness with internal motivation will recognize her limits—but she won't settle for objectives that seem too easy to fulfil.

And it follows naturally that people who are driven to do better also want a way of tracking progress—their own, their team's, and their company's. Whereas people with low achievement motivation are often fuzzy about results, those with high achievement motivation often keep score by tracking such hard measures as profitability or market share. I know of a money manager who starts and ends his day on the Internet, gauging the performance of his stock fund against four industry-set benchmarks.

Interestingly, people with high motivation remain optimistic even when the score is against them. In such cases, self-regulation combines with achievement motivation to overcome the frustration and depression that come after a setback or failure. Take the case of another portfolio manager at a large investment company. After several successful years, her fund tumbled for three consecutive quarters, leading three large institutional clients to shift their business elsewhere.

Some executives would have blamed the nosedive on circumstances outside their control; others might have seen the setback as evidence of personal failure. This portfolio manager, however, saw an opportunity to prove she could lead a turnaround. Two years later, when she was promoted to a very senior level in the company, she described the experience as "the best thing that ever happened to me; I learned so much from it."

Executives trying to recognize high levels of achievement motivation in their people can look for one last piece of evidence: commitment to the organization. When people love their jobs for the work itself, they often feel committed to the organizations that make that work possible. Committed employees are likely to stay with an organization even when they are pursued by head-hunters waving money.

It's not difficult to understand how and why a motivation to achieve translates into strong leadership. If you set the performance bar high for yourself, you will do the same for the organization when you are in a position to do so. Likewise, a drive to surpass goals and an interest in keeping score can be contagious. Leaders with these traits can often build a team of managers around them with the same traits. And of course, optimism and organizational commitment are fundamental to leadership— just try to imagine running a company without them.

Empathy

Of all the dimensions of emotional intelligence, empathy is the most easily recognized. We have all felt the empathy of a sensitive teacher or friend; we have all been struck by its absence in an unfeeling coach or boss. But when it comes to business, we rarely hear people praised, let alone rewarded, for their empathy. The very word seems unbusinesslike, out of place amid the tough realities of the marketplace.

But empathy doesn't mean a kind of "I'm OK, you're OK" mushiness. For a leader, that is, it doesn't mean adopting other people's emotions as one's own and trying to please everybody. That would be a nightmare—it would make action impossible. Rather, empathy means thoughtfully considering employees' feelings—along with other factors—in the process of making intelligent decisions.

For an example of empathy in action, consider what happened when two giant brokerage companies merged, creating redundant jobs in all their divisions. One division manager called his people together and gave a gloomy speech that emphasized the number of people who would soon be fired. The manager of another division gave his people a different kind of speech. He was up-front about his own worry and confusion, and he promised to keep people informed and to treat everyone fairly.

The difference between these two managers was empathy. The first manager was too worried about his own fate to consider the feelings of his anxiety-stricken colleagues. The second knew intuitively what his people were feeling, and he acknowledged their fears with his words. Is it any surprise that the first manager saw his division sink as many demoralized people, especially the most talented, departed? By contrast, the second manager continued to be a strong leader, his best people stayed, and his division remained as productive as ever. Empathy is particularly important today as a component of leadership for at least three reasons: the increasing use of teams; the rapid pace of globalization; and the growing need to retain talent.

Consider the challenge of leading a team. As anyone who has ever been a part of one can attest, teams are cauldrons of bubbling emotions. They are often charged with reaching a consensus—which is hard enough with two people and much more difficult as the numbers increase. Even in groups with as few as four or five members, alliances form and clashing agendas get set. A team's leader must be able to sense and understand the viewpoints of everyone around the table.

That's exactly what a marketing manager at a large information technology company was able to do when she was appointed to lead a troubled team. The group was in turmoil, overloaded by work and missing deadlines. Tensions were high among the members. Tinkering with procedures was not enough to bring the group together and make it an effective part of the company.

So the manager took several steps. In a series of one-on-one sessions, she took the time to listen to everyone in the group—what was frustrating them, how they rated their colleagues, whether they felt they had been ignored. And then she directed the team in a way that brought it together: She encouraged people to speak more openly about their frustrations, and she helped people raise constructive complaints during meetings. In short, her empathy allowed her to understand her team's emotional makeup. The result was not just heightened collaboration among members but also added business, as the team was called on for help by a wider range of internal clients.

Globalization is another reason for the rising importance of empathy for business leaders. Cross-cultural dialogue can easily lead to miscues and misunderstandings. Empathy is an antidote. People who have it are attuned to subtleties in body language; they can hear the message beneath the words being spoken. Beyond that, they have a deep understanding of both the existence and the importance of cultural and ethnic differences.

Consider the case of an American consultant whose team had just pitched a project to a potential Japanese client. In its dealings with Americans, the team was accustomed to being bombarded with questions after such a proposal, but this time it was greeted with a long silence. Other members of the team, taking the silence as disapproval, were ready to pack and leave. The lead consultant gestured them to stop. Although he was not particularly familiar with Japanese culture, he read the client's face and posture and sensed not rejection but interest—even deep consideration. He was right: When the client finally spoke, it was to give the consulting firm the job.

Finally, empathy plays a key role in the retention of talent, particularly in today's information economy. Leaders have always needed empathy to develop and keep good people, but today the stakes are higher. When good people leave, they take the company's knowledge with them.

That's where coaching and mentoring come in. It has repeatedly been shown that coaching and mentoring pay off not just in better performance but also in increased job satisfaction and decreased turnover. But what makes coaching and mentoring work best is the nature of the relationship. Outstanding coaches and mentors get inside the heads of the people they are helping. They sense how to give effective feedback. They know when to push for better performance and when to hold back.

In the way they motivate their protégés, they demonstrate empathy in action. In what is probably sounding like a refrain, let me repeat that empathy doesn't get much respect in business. People wonder how leaders can make hard decisions if they are "feeling" for all the people who will be affected. But leaders with empathy do more than sympathize with people around them: They use their knowledge to improve their companies in subtle but important ways.

Social Skill

The first three components of emotional intelligence are self-management skills. The last two, empathy and social skill, concern a person's ability to manage relationships with others. As a component of emotional intelligence, social skill is not as simple as it sounds. It's not just a matter of friendliness, although people with high levels of social skill are rarely mean-spirited. Social skill, rather, is friendliness with a purpose: moving people in the direction you desire, whether that's agreement on a new marketing strategy or enthusiasm about a new product.

Socially skilled people tend to have a wide circle of acquaintances, and they have a knack for finding common ground with people of all kinds—a knack for building rapport. That doesn't mean they socialize continually; it means they work according to the assumption that nothing important gets done alone. Such people have a network in place when the time for action comes.

Social skill is the culmination of the other dimensions of emotional intelligence. People tend to be very effective at managing relationships when they can understand and control their own emotions and can empathize with the feelings of others. Even motivation contributes to social skill. Remember that people who are driven to achieve tend to be optimistic, even in the face of setbacks or failure. When people are upbeat, their "glow" is cast upon conversations and other social encounters. They are popular, and for good reason.

Because it is the outcome of the other dimensions of emotional intelligence, social skill is recognizable on the job in many ways that will by now sound familiar. Socially skilled people, for instance, are adept at managing teams—that's their empathy at work. Likewise, they are expert persuaders—a manifestation of self-awareness, self-regulation, and empathy combined. Given those skills, good persuaders know when to make an emotional plea, for instance, and when an appeal to reason will work better. And motivation, when publicly visible, makes such people excellent collaborators; their passion for the work spreads to others, and they are driven to find solutions.

But sometimes social skill shows itself in ways the other emotional intelligence components do not. For instance, socially skilled people may at times appear not to be working while at work. They seem to be idly schmoozing—chatting in the hallways with colleagues or joking around with people who are not even connected to their "real" jobs. Socially skilled people, however, don't think it makes sense to arbitrarily limit the scope of their relationships. They build bonds widely because they know that in these fluid times, they may need help someday from people they are just getting to know today.

For example, consider the case of an executive in the strategy department of a global computer manufacturer. By 1993, he was convinced that the company's future lay with the Internet. Over the course of the next year, he found kindred spirits and used his social skill to stitch together a virtual community that cut across levels, divisions, and nations. He then used this de facto team to put up a corporate Web site, among the first by a major company. And, on his own initiative, with no budget or formal status, he signed up the company to participate in an annual Internet industry convention. Calling on his allies and persuading various divisions to donate funds, he recruited more than 50 people from a dozen different units to represent the company at the convention.

Management took notice: Within a year of the conference, the executive's team formed the basis for the company's first Internet division, and he was formally put in charge of it. To get there, the executive had ignored conventional boundaries, forging and maintaining connections with people in every corner of the organization.

Is social skill considered a key leadership capability in most companies? The answer is yes, especially when compared with the other components of emotional intelligence. People seem to know intuitively that leaders need to manage relationships effectively; no leader is an island. After all, the leader's task is to get work done through other people, and social skill makes that possible. A leader who cannot express her empathy may as well not have it at all. And a leader's motivation will be useless if he cannot communicate his passion to the organization. Social skill allows leaders to put their emotional intelligence to work.

It would be foolish to assert that good-old-fashioned IQ and technical ability are not important ingredients in strong leadership. But the recipe would not be complete without emotional intelligence. It was once thought that the components of emotional intelligence were "nice to have" in business leaders.

But now we know that, for the sake of performance, these are ingredients that leaders "need to have."

It is fortunate, then, that emotional intelligence can be learned. The process is not easy. It takes time and, most of all, commitment. But the benefits that come from having a well-developed emotional intelligence, both for the individual and for the organization, make it worth the effort.

THE IDEA IN PRACTICE

Understanding EI's Components

EI Component	Definition	Hallmarks	Example
Self-awareness	Knowing one's emotions, strengths, weaknesses, drives, values, and goals—and their impact on others	• Self-confidence • Realistic self-assessment • Self-deprecating sense of humour • Thirst for constructive criticism	A manager knows tight deadlines bring out the worst in him. So he plans his time to get work done well in advance.
Self-regulation	Controlling or redirecting disruptive emotions and impulses.	• Trustworthiness • Integrity • Comfort with ambiguity and change	When a team botches a presentation, its leader resists the urge to scream. Instead, she considers possible reasons for the failure, explains the consequences to her team, and explores solutions with them.
Motivation	Being driven to achieve for the sake of achievement.	• A passion for the work itself and for new challenges • Unflagging energy to improve • Optimism in the face of failure	A portfolio manager at an investment company sees his fund tumble for three consecutive quarters. Major clients defect. Instead of blaming external circumstances, she decides to learn from the experience—and engineers a turnaround.
Empathy	Considering others' feelings, especially when making decisions.	• Expertise in attracting and retaining talent • Ability to develop others • Sensitivity to cross-cultural differences	An American consultant and her team pitch a project to a potential client in Japan. Her team interprets the client's silence as disapproval, and prepares to leave. The consultant reads the client's body language and senses interest. She continues the meeting, and her team gets the job.
Social Skill	Managing relationships to move people in desired directions.	• Effectiveness in leading change • Persuasiveness • Extensive networking • Expertise in building and leading teams	A manager wants his company to adopt a better Internet strategy. He finds kindred spirits and assembles a de facto team to create a prototype Web site. He persuades allies in other divisions to fund the company's participation in a relevant convention. His company forms an Internet division—and puts him in charge of it.

An EI-Based Theory of Performance

From the book The Emotionally Intelligent Workplace
Edited by: Cary Cherniss and Daniel Goleman
By: Daniel Goleman

In 1998, in Working with Emotional Intelligence, I set out a framework of emotional intelligence (EI) that reflects how an individual's potential for mastering the skills of Self-Awareness, Self-Management, Social Awareness, and Relationship Management translates into on-the-job success. This model is based on EI competencies that have been identified in internal research at hundreds of corporations and organizations as distinguishing outstanding performers. Focusing on EI as a theory of performance, this chapter presents a new version of that model, looks at the physiological evidence underlying EI theory, and reviews a number of studies of the drivers of workplace performance and the factors that distinguish the best individuals from the average ones.

As I define it, an emotional competence is "a learned capability based on emotional intelligence that results in outstanding performance at work" (Goleman, 1998b). To be adept at an emotional competence like Customer Service or Conflict Management requires an underlying ability in EI fundamentals, specifically, Social Awareness and Relationship Management. However, emotional competencies are learned abilities: having Social Awareness or skill at managing relationship does not guarantee we have mastered the additional learning required to handle a customer adeptly or to resolve a conflict—just that we have the potential to become skilled at these competencies.

Emotional competencies are job skills that can, and indeed must, be learned. An underlying EI ability is necessary, though not sufficient, to manifest competence in any one of the four EI domains, or clusters that I introduced in Chapter Two. Consider the IQ corollary that a student can have excellent spatial abilities yet never learn geometry. So too can a person be highly empathic yet poor at handling customers if he or she has not learned competence in customer service. Although our emotional intelligence determines our potential for learning the practical skills that underlie the four EI clusters, our emotional competence shows how much of that potential we have realized by learning and mastering skills and translating intelligence into on-the-job capabilities.

Figure 3.1 presents the current version of my EI framework. Twenty competencies nest in four clusters of general EI abilities. The framework illustrates, for example, that we cannot demonstrate the competencies of trustworthiness and conscientiousness without mastery of the fundamental ability of Self-Management or the Competencies of Influence, Communication, Conflict Management, and so on without a handle on Managing Relationships.

Figure 3.1. A FRAMEWORK OF EMOTIONAL COMPETENCIES

	SELF Personal Competence	OTHERS Social competence
Recognition	**Self-Awareness** - Emotional self-awareness - Accurate self-assessment - Self-confidence	**Social Awareness** - Empathy - Service orientation - Organizational awareness
Regulation	**Self-Management** - Self-control - Trustworthiness - Conscientiousness - Adaptability - Achievement drive - Initiative	**Relationship Management** - Developing others - Influence - Communication - Conflict management - Leadership - Change catalyst - Building bonds - Teamwork & collaboration

This model is a refinement of the model I used in 1998. That earlier framework identified five domains, or dimensions, of emotional intelligence that comprised twenty-five competencies. Three dimensions—Self-Awareness, Self-Regulation, and Motivation—described personal competencies, that is, knowing and managing emotions in oneself. Two dimensions—Empathy and Social Skills—described social competencies, that is, knowing and managing emotions in others. The current model reflects recent statistical analyses by my colleague Richard Boyatzis that supported collapsing the twenty-five competencies into twenty, and the five domains into the four seen here: Self-Awareness, Self-Management, Social Awareness, and Relationship Management (Boyatzis, Goleman, & Rhee, 2000). Boyatzis, Goleman, and Rhee administered the Emotional Competence Inventory, a questionnaire designed to assess the twenty EI competencies just described, to nearly six hundred corporate managers and professionals and engineering, management, and social work graduate students. Respondents were asked to indicate the degree to which statements about EI-related behaviors—for instance, the ability to remain calm under pressure—were characteristic of themselves. Their ratings of themselves were then compared to ratings of them made those who worked with them. Three key clusters into which the twenty EI competencies were grouped emerged: Self-Awareness, Self-Management, and Social Awareness (which subsumes Empathy), along with Relationship Management, which, in the statistical analysis, subsumed the Social Awareness cluster. While the analysis verifies that the competencies nest within each El domain, it also suggests that the distinction between the Social Awareness cluster and the Relationship Management cluster may be more theoretical than empirical.

In this process the competence called Innovation was collapsed into Initiative; Optimism was integrated with Achievement Drive; Leveraging Diversity and Understanding Others combined to become Empathy; Organizational Commitment was collapsed into Leadership; and the separate competencies Collaboration and Team Capabilities became one, called Teamwork and Collaboration. Political Awareness was renamed Organizational Awareness, and Emotional Awareness became Emotional Self-Awareness.

Neurological Substrates of EI

The competencies named in Figure 3.1 have long been recognized as adding value to performance; however, one of the functions of the EI framework is to reflect the neurological substrates of this set of human abilities. An understanding of these neurological substrates has critical implications for how people can best learn to develop strengths in the EI range of competencies.

The EI theory of performance posits that each of the four domains of EI derives from distinct neurological mechanisms that distinguish each domain from the others and all four from purely cognitive domains of ability. In turn, at a higher level of articulation, the EI competencies nest within these four EI domains. This distinction between EI-based competencies and purely cognitive abilities like IQ can now be drawn more clearly than before owing to recent findings in neuroscience. Research in the newly emerging field of affective neuroscience (Davidson, Jackson, & Kalin, 2000) offers a fine-grained view of the neural substrates of the EI-based range of behavior and allows us to see a bridge between brain function and the behaviors described in the EI model of performance.

From the perspective of affective neuroscience, the defining boundary in brain activity between emotional intelligence and cognitive intelligence is the distinction between capacities that are purely (or largely) neocortical and those that integrate neocortical and limbic circuitry. Intellectual abilities like verbal fluency, spatial logic, and abstract reasoning—in other words, the components of IQ—are based primarily in specific areas of the neocortex. When these neocortical areas are damaged, the corresponding intellectual ability suffers. In contrast, emotional intelligence encompasses the behavioral manifestations of underlying neurological circuitry that primarily links the limbic areas for emotion, centering on the amygdala and its extended networks throughout the brain, to areas in the prefrontal cortex, the brain's executive center.

Key components of this circuitry include the dorsolateral, ventromedial, and orbitofrontal sectors of the prefrontal cortex (with important functional differences between left and right sides in each sector) and the amygdala and hippocampus (Davidson, Jackson, & Kalin, 2000). This circuitry is essential for the development of skills in each of the four main domains of emotional intelligence. Lesions in these areas produce deficits in the hallmark abilities of EI—Self-Awareness, Self-Management (including Motivation), Social Awareness skills such as Empathy, and Relationship Management, just as lesions in discrete areas of the neocortex selectively impair aspects of purely cognitive abilities such as verbal fluency or spatial reasoning (Damasio, 1994, 1999).

The first component of emotional intelligence is Emotional Self-Awareness, knowing what one feels. John Mayer (see, for example, Mayer & Stevens, 1994) uses the term meta-mood, the affective analogue of meta-cognition, for key aspects of Emotional Self-Awareness. The neural substrates of Emotional Self-Awareness have yet to be determined with precision. But Antonio Damasio (1994), on the basis of neuropsychological studies of patients with brain lesions, proposes that the ability to sense, articulate, and reflect on one's emotional states hinges on the neural circuits that run between the prefrontal and verbal cortex, the amygdala, and the viscera. Patients with lesions that disconnect the amygdala from the prefrontal cortex, he finds, are at a loss to give words to feelings, a hallmark of the disorder alexithymia. In some ways, alexithymia and Emotional Self-Awareness may be mirror concepts, one reflecting a deficiency in the workings of these neural substrates, the other efficiency (Taylor, Parker, & Bagby, 1999).

The second component of EI, Emotional Self-Management, is the ability to regulate distressing affects like anxiety and anger and to inhibit emotional impulsivity. PET (positron-emission tomography) measurements of glucose metabolism reveal that individual differences in metabolic activity in the amygdala are associated with levels of distress or dysphoria—the more activity, the greater the negative affect (Davidson, Jackson, & Kalin, 2000). In contrast, metabolic activity in the left medial prefrontal cortex is inversely related to levels of activity in the amygdala—an array of inhibitory neurons in the prefrontal area, animal studies have shown, regulate activation of the amygdala. In humans, the greater the activity level in the left medial prefrontal cortex, the more positive the person's emotional state. Thus a major locus of the ability to regulate negative affect appears to be the circuit between the amygdala and the left prefrontal cortex.

This circuitry also appears instrumental in the motivational aspect of Emotional Self-Management; it may sustain the residual affect that propels us to achieve our goals. David McClelland (1975) has defined motivation as "an affectively toned associative network arranged in a hierarchy of strength and importance in the individual," which determines what goals we seek (p. 81). Davidson proposes that the left medial prefrontal cortex is the site of "affective working memory." Damage to this region is associated with a loss of the ability to sustain goal-directed behavior; loss of the capacity to anticipate affective outcomes from accomplishing goals diminishes the ability to guide behavior adaptively (Davidson, Jackson, & Kalin, 2000). In other words, Davidson proposes that the prefrontal cortex allows us to hold in mind or remind ourselves of the positive feelings that will come when we attain our goals and at the same time allows us to inhibit the negative feelings that would discourage us from continuing to strive toward those goals.

Social Awareness, the third EI component, which encompasses the competency of Empathy, also involves the amygdala. Studies of patients with discrete lesions to the amygdala show impairment of their ability to read nonverbal cues for negative emotions, particularly anger and fear, and to judge the trustworthiness of other people (Davidson, Jackson, & Kalin, 2000). Animal studies suggest a key role in recognizing emotions for circuitry running from the amygdala to the visual cortex; Brothers (1989), reviewing both neurological findings and comparative studies with primates, cites data showing that certain neurons in the visual cortex respond only to specific emotional cues, such as a threat. These emotion-recognition cortical neurons have strong connections to the amygdala.

Finally, Relationship Management, or Social Skill, the fourth EI component, poses a more complex picture. In a fundamental sense, the effectiveness of our relationship skills hinges on our ability to attune ourselves to or influence the emotions of another person. That ability in turn builds on other domains of EI, particularly Self-Management and Social Awareness. If we cannot control our emotional outbursts or impulses and lack Empathy, there is less chance we will be effective in our relationships.

Indeed, in an analysis of data on workplace effectiveness, Richard Boyatzis, Ruth Jacobs, and I have found that Emotional Self-Awareness is a prerequisite for effective Self-Management, which in turn predicts greater Social Skill. A secondary pathway runs from Self-Awareness to Social Awareness (particularly Empathy) to Social Skill. Managing relationships well, then, depends on a foundation of Self-Management and Empathy, each of which in turn requires Self-Awareness.

This evidence that Empathy and Self-Management are foundations for social effectiveness finds support at the neurological level. Patients with lesions in the prefrontal-amygdala circuits that undergird both Self-Management and Empathy show marked deficits in relationship skills, even though their cognitive abilities remain intact (Damasio, 1994). When Damasio administered an EI measure to one such patient, he found that though the patient had an IQ of 140, he showed marked deficits in self-awareness and empathy (Bar-On, 2000b). Primate studies find parallel effects. Monkeys in the wild who had this prefrontal-amygdala circuitry severed were able to perform food gathering and similar tasks to maintain themselves but lacked all sense of how to respond to other monkeys in the band, even running away from those who made friendly gestures (Brothers, 1989).

The Business Case for EI Competencies

The data documenting the importance for outstanding performance of each of the twenty emotional intelligence competencies have been building for more than two decades. I have reviewed the data for each competence (Goleman, 1998b), as have Cherniss and Adler (2000). Moreover the data continue to build, both informally, as organizations worldwide do internal studies to identify the competencies that distinguish outstanding from average performers, and formally, as academic researchers continue to focus studies on one or another of these capabilities.

David McClelland (1975) was perhaps the first to propose the concept of competence as a basis for identifying what differentiates outstanding from average performers at work. McClelland (1998) reviewed data from more than thirty different organizations and for executive positions in many professions, from banking and managing to mining geology, sales, and health care. He showed that a wide range of EI competencies (and a narrow range of cognitive ones) distinguished top performers from average ones. Those that distinguished most powerfully were Achievement Drive, Developing Others, Adaptability, Influence, Self-Confidence, and Leadership. The one cognitive competence that distinguished as strongly was Analytic Thinking.

Although each competence contributes on its own to workplace effectiveness, I believe it is less useful to consider them one by one than it is to examine them in their clusters, where one can also assess the synergies of strengths in several competencies that enable outstanding performance, as McClelland (1998) has shown. For that reason, I review here only selected examples of data linking the EI competencies to workplace performance. Readers who seek a fuller review should consult Goleman (1998b) or the classic work of Boyatzis (1982) and Spencer and Spencer (1993).

The Self-Awareness Cluster: Understanding Feelings and Accurate Self-Assessment

The first of the three Self-Awareness competencies, Emotional Self-Awareness, reflects the importance of recognizing one's own feelings and how they affect one's performance. At a financial services company emotional self-awareness proved crucial in financial planners' job performance (Goleman, 1998b). The interaction between a financial planner and a client is delicate, dealing not only with hard questions about money but also, when life insurance comes up, the even more discomforting issue of mortality; the planners' Self-Awareness apparently helped them handle their own emotional reactions better.

At another level, Self-Awareness is key to realizing one's own strengths and weaknesses. Among several hundred managers from twelve different organizations, Accurate Self-Assessment was the hallmark of superior performance (Boyatzis, 1982). Individuals with the Accurate Self-Assessment competence are aware of their abilities and limitations, seek out feedback and learn from their mistakes, and know where they need to improve and when to work with others who have complementary strengths. Accurate Self-Assessment was the competence found in virtually every "star performer" in a study of several hundred knowledge workers—computer scientists, auditors and the like—at companies such as AT&T and 3M (Kelley, 1998). On 360-degree competence assessments, average performers typically overestimate their strengths, whereas star performers rarely do; if anything, the stars tended to underestimate their abilities, an indicator of high internal standards (Goleman, 1998b).

The positive impact of the Self-Confidence competence on performance has been shown in a variety of studies. Among supervisors, managers, and executives, a high degree of Self-Confidence distinguishes the best from the average performers (Boyatzis, 1982). Among 112 entry-level accountants, those with the highest sense of Self-Efficacy, a form of Self-Confidence, were rated by their supervisors ten months later as having superior job performance. The level of Self-Confidence was in fact a stronger predictor of performance than the level of skill or previous training (Saks, 1995). In a sixty-year study of more than one thousand high-IQ men and women tracked from early childhood to retirement, those who possessed Self-Confidence during their early years were most successful in their careers (Holahan & Sears, 1995).

The Self-Management Cluster: Managing Internal States, Impulses, and Resources

The Self-Management cluster of EI abilities encompasses six competencies. Heading the list is the Emotional Self-Control competence, which manifests largely as the absence of distress and disruptive feelings. Signs of this competence include being unfazed in stressful situations or dealing with a hostile person without lashing out in return. Among small business owners and employees, those with a stronger sense of control over not only themselves but the events in their lives are less likely to become angry or depressed when faced with job stress or to quit (Rahim & Psenicka, 1996). Among counselors and psychotherapists, superior performers tend to respond calmly to angry attacks by a patient, as do outstanding flight attendants dealing with disgruntled passengers (Boyatzis & Burrus, 1995; Spencer & Spencer, 1993). And among managers and executives, top performers are able to balance their drive and ambition with Emotional Self-Control, harnessing their personal needs in the service of the organization's goals (Boyatzis, 1982). Those store managers who are best able to manage their own stress and stay unaffected have the most profitable stores, by such measures as sales per square foot, in a national retail chain (Lusch & Serkenci, 1990).

The Trustworthiness competence translates into letting others know one's values and principles, intentions and feelings, and acting in ways that are consistent with them. Trustworthy individuals are forthright about their own mistakes and confront others about their lapses. A deficit in this ability operates as a career derailer (Goleman, 1998b).

The signs of the Conscientiousness competence include being careful, self-disciplined, and scrupulous in attending to responsibilities. Conscientiousness distinguishes the model organizational citizens, the people who keep things running as they should. In studies of job performance, outstanding effectiveness in virtually all jobs—from the bottom to the top of the corporate ladder—depends on Conscientiousness (Barrick & Mount, 1991). Among sales representatives for a large U.S. appliance manufacturer, those who were most conscientious had the largest volume of sales (Barrick, Mount, & Straus, 1993).

If there is any single competence our present times call for, it is Adaptability. Superior performers in management ranks exhibit this competence (Spencer & Spencer, 1993). They are open to new information and can let go of old assumptions and so adapt how they operate. Emotional resilience allows an individual to remain comfortable with the anxiety that often accompanies uncertainty and to think "out of the box," displaying on-the-job creativity and applying new ideas to achieve results. Conversely, people who are uncomfortable with risk and change become naysayers who can undermine innovative ideas or be slow to respond to a shift in the marketplace. Businesses with less formal and more ambiguous, autonomous, and flexible roles for employees open flows of information, and multidisciplinary team-oriented structures experience greater innovation (Amabile, 1988).

David McClelland's landmark work The Achieving Society (1961) established Achievement Orientation as the competence that drives the success of entrepreneurs. In its most general sense, this competence, which I call Achievement Drive, refers to an optimistic striving to continually improve performance. Studies that compare star performers in executive ranks to average ones find that stars display classic achievement-oriented behaviors—they take more calculated risks, they support enterprising innovations and set challenging goals for their employees, and so forth. Spencer and Spencer (1993) found that the need to achieve is the competence that most strongly sets apart superior and average executives. Optimism is a key ingredient of achievement because it can determine one's reaction to unfavorable events or circumstances; those with high achievement are proactive and persistent, have an optimistic attitude toward setbacks, and operate from hope of success. Studies have shown that optimism can contribute significantly to sales gains, among other accomplishments (Schulman, 1995).

Those with the Initiative competence act before being forced to do so by external events. This often means taking anticipatory action to avoid problems before they happen or taking advantage of opportunities before they are visible to anyone else. Individuals who lack Initiative are reactive rather than proactive, lacking the farsightedness that can make the critical difference between a wise decision and a poor one. Initiative is key to outstanding performance in industries that rely on sales, such as real estate, and to the development of personal relationships with clients, as is critical in such businesses as financial services or consulting (Crant, 1995; Rosier, 1996).

The Social Awareness Cluster: Reading People and Groups Accurately

The Social Awareness cluster manifests in three competencies. The Empathy competence gives people an astute awareness of others' emotions, concerns, and needs. The empathic individual can read emotional currents, picking up on nonverbal cues such as tone of voice or facial expression. Empathy requires Self-Awareness; our understanding of others' feelings and concerns flows from awareness of our own feelings. This sensitivity to others is critical for superior job performance whenever the focus is on interactions with people. For instance, physicians who are better at recognizing emotions in patients are more successful than their less sensitive colleagues at treating them (Friedman & DiMatteo, 1982). The ability to read others' needs well comes naturally to the best managers of product development teams (Spencer & Spencer, 1993). And skill in Empathy correlates with effective sales, as was found in a study among large and small retailers (Pilling & Eroglu, 1994). In an increasingly diverse workforce, the Empathy competence allows us to read people accurately and avoid resorting to the stereotyping that can lead to performance deficits by creating anxiety in the stereotyped individuals (Steele, 1997).

Social Awareness also plays a key role in the Service competence, the ability to identify a client's or customer's often unstated needs and concerns and then match them to products or services; this empathic strategy distinguishes star sales performers from average ones (Spencer & Spencer, 1993). It also means taking a long-term perspective, sometimes trading off immediate gains in order to preserve customer relationships. A study of an office supply and equipment vendor indicated that the most successful members of the sales team were able to combine taking the customer's viewpoint and showing appropriate assertiveness in order to steer the customer toward a choice that satisfied both the customer's and the vendor's needs (McBane, 1995).

Organizational Awareness, the ability to read the currents of emotions and political realities in groups, is a competence vital to the behind-the-scenes networking and coalition building that allows individuals to wield influence, no matter what their professional role. Insight into group social hierarchies requires Social Awareness on an organizational level, not just an interpersonal one. Outstanding performers in most organizations share this ability; among managers and executive generally, this emotional competence distinguishes star performers. Their ability to read situations objectively, without the distorting lens of their own biases and assumptions, allows them to respond effectively (Boyatzis, 1982).

The Relationship Management Cluster: Inducing Desirable Responses in Others

The Relationship Management set of competencies includes essential Social Skills. Developing Others involves sensing people's developmental needs and bolstering their abilities—a talent not just of excellent coaches and mentors, but also outstanding leaders. Competence in developing others is a hallmark of superior managers; among sales managers, for example, it typifies those at the top of the field (Spencer and Spencer, 1993). Although this ability is crucial for those managing front-line work, it has also emerged as a vital skill for effective leadership at high levels (Goleman, 2000b).

We practice the essence of the Influence competence when we handle and manage emotions effectively in other people and are persuasive. The most effective people sense others' reactions and fine-tune their own responses to move interaction in the best direction. This emotional competence emerges over and over again as a hallmark of star performers, particularly among supervisors, managers, and executives (Spencer & Spencer, 1993). Star performers with this competence draw on a wider range of persuasion strategies than others do, including impression management, dramatic arguments or actions, and appeals to reason. At the same time, the Influence competence requires them to be genuine and put collective goals before their self-interests; otherwise what would manifest as effective persuasion becomes manipulation.

Creating an atmosphere of openness with clear lines of communication is a key factor in organizational success. People who exhibit the Communication competence are effective in the give-and-take of emotional information, deal with difficult issues straightforwardly, listen well and welcome sharing information fully, and foster open communication and stay receptive to bad news as well as good. This competence builds on both managing one's own emotions and empathy; a healthy dialogue depends on being attuned to others' emotional states and controlling the impulse to respond in ways that might sour the emotional climate. Data on managers and executives show that the better people can execute this competence, the more others prefer to deal with them (J. Walter Clarke Associates, cited in Goleman, 1998b).

A talent of those skilled in the Conflict Management competence is spotting trouble as it is brewing and taking steps to calm those involved. Here the arts of listening and empathizing are crucial to the skills of handling difficult people and situations with diplomacy, encouraging debate and open discussion, and orchestrating win-win situations. Effective Conflict Management and negotiation are important to long-term, symbiotic business relationships, such as those between manufacturers and retailers. In a survey of retail buyers in department store chains, effectiveness at win-win negotiating was an accurate barometer of the health of the manufacturer-retailer relationship (Ganesan, 1993).

Those adept at the Visionary Leadership competence draw on a range of personal skills to inspire others to work together toward common goals. They are able to articulate and arouse enthusiasm for a shared vision and mission, to step forward as needed, to guide the performance of others while holding them accountable, and to lead by example. Outstanding leaders integrate emotional realities into what they see and so instill strategy with meaning and resonance. Emotions are contagious, particularly when exhibited by those at the top, and extremely successful leaders display a high level of positive energy that spreads throughout the organization. The more positive the style of a leader, the more positive, helpful, and cooperative are those in the group (George & Bettenhausen, 1990). And the emotional tone set by a leader tends to ripple outward with remarkable power (Bachman, 1988).

The acceleration of transitions as we enter the new century has made the Change Catalyst competence highly valued—leaders must be able to recognize the need for change, remove barriers, challenge the status quo, and enlist others in pursuit of new initiatives. An effective change leader also articulates a compelling vision of the new organizational goals. A leader's competence at catalyzing change brings greater efforts and better performance from subordinates, making their work more effective (House, 1988).

The Building Bonds competence epitomizes stars in fields like engineering, computer science, biotechnology, and other knowledge work fields in which networking is crucial for success; these stars tend to choose people with a particular expertise or resource to be part of their networks (Kelley, 1998). Outstanding performers with this competence balance their own critical work with carefully chosen favors, building accounts of goodwill with people who may become crucial resources down the line. One of the virtues of building such relationships is the reservoir of trust and goodwill that they establish; highly effective managers are adept at cultivating these relationships, whereas less effective managers generally fail to build bonds (Kaplan, 1991).

The Collaboration and Teamwork competence has taken on increased importance in the last decade with the trend toward team-based work in many organizations. Teamwork itself depends on the collective EI of its members; the most productive teams are those that exhibit EI competencies at the team level (as Druskat and Wolff discuss in Chapter Six). And Collaboration is particularly crucial to the success of managers; a deficit in the ability to work cooperatively with peers was, in one survey, the most common reason managers were fired (Sweeney, 1999). Team members tend to share moods, both good and bad—with better moods improving performance (Totterdell, Kellett, Teuchmann, & Briner, 1998). The positive mood of a team leader at work promotes worker effectiveness and promotes retention (George & Bettenhausen, 1990). Finally, positive emotions and harmony on a top-management team predict its effectiveness (Barsade & Gibson, 1998).

Competence Comes in Multiples

Although there is theoretical significance in showing that each competence in itself has a significant impact on performance, it is also in a sense an artificial exercise. In life—and particularly on the job—people exhibit these competencies in groupings, often across clusters, that allow competencies to support one another. Emotional competencies seem to operate most powerfully in synergistic groupings, with the evidence suggesting that mastery of a "critical mass" of competencies is necessary for superior performance (Boyatzis, Goleman, & Rhee, 2000).

Along with competency clusters comes the notion of a tipping point—the point at which strength in a competence makes a significant impact on performance. Each competence can be viewed along a continuum of mastery; at a certain point along each continuum there is a major leap in performance impact. In McClelland's analysis (1998) of the competencies that distinguish star performers from average ones, he found a tipping point effect when people exhibited excellence in six or more competencies. McClelland argues that a critical mass of competencies above the tipping point distinguishes top from average performers. The typical pattern is that stars are above the tipping point on at least six EI competencies and demonstrate strengths in at least one competency from each of the four clusters.

This effect has been replicated in Boyatzis's research (1999b), which demonstrated that meeting or surpassing the tipping point in at least three of the four EI clusters was necessary for success among high-level leaders in a large financial services organization. Boyatzis found that both a high degree of proficiency in several aptitudes in the same cluster and a spread of strengths across clusters are found among those who exhibit superior organizational performance.

Using information about the profit produced by partners at a large financial services company, Boyatzis (1999a) was able to analyze the financial impact of having a critical mass of strengths above the tipping point in different EI clusters. At this company, strengths in the Self-Awareness cluster added 78 percent more incremental profit; in the Self-Management cluster, 390 percent more profit, and the Relationship Management cluster, 110 percent more. The extremely large effect from strengths in the Self-Management competencies suggests the importance of managing one's emotions—using abilities such as self-discipline, integrity, and staying motivated toward goals—for individual effectiveness.

Organizations and individuals interface in ways that require a multitude of EI abilities, each most effective when used in conjunction with others. Emotional Self-Control, for instance, supports the Empathy and the Influence competencies. Finding a comfortable fit between an individual and an organization is easier when important aspects of organizational culture (rapid growth, for example) link to a grouping of competencies rather than a single competency.

Other researchers have reported that competencies operate together in an integrated fashion, forming a meaningful pattern of abilities that facilitates successful performance in a given role or job (Nygren & Ukeritis, 1993). Spencer and Spencer (1993) have identified distinctive groupings of competencies that tend to typify high-performing individuals in specific fields, including health care and social services, technical and engineering, sales, client management, and leadership at the executive level.

EI Leadership, Climate, and Organizational Performance

I have indicated how EI can affect an individual's success in an organization. But how does it affect organizational success overall? The evidence suggests that emotionally intelligent leadership is key to creating a working climate that nurtures employees and encourages them to give their best. That enthusiasm, in turn, pays off in improved business performance. This trickle-down effect emerged, for example, in a study of CEOs in U.S. insurance companies. Given comparable size, companies whose CEOs exhibited more EI competencies showed better financial results as measured by both profit and growth (Williams, 1994).

A similar relationship between EI strengths in a leader and business results was found by McClelland (1998) in studying the division heads of a global food and beverage company. The divisions of the leaders with a critical mass of strengths in EI competencies outperformed yearly revenue targets by a margin of 15 to 20 percent. The divisions of the leaders weak in EI competencies underperformed by about the same margin (Goleman, 1998b).

The relationship between EI strengths in a leader and performance of the unit led appears to be mediated by the climate the leader creates. In the study of insurance CEOs, for example, there was a significant relationship between the EI abilities of the leader and the organizational climate (Williams, 1994). Climate reflects people's sense of their ability to do their jobs well. Climate indicators include the degree of clarity in communication; the degree of employees' flexibility in doing their jobs, ability to innovate, and ownership of and responsibility for their work; and the level of the performance standards set (Litwin & Stringer, 1968; Tagiuri & Litwin, 1968). In the insurance industry study, the climate created by CEOs among their direct reports predicted the business performance of the entire organization, and in three-quarters of the cases climate alone could be used to correctly sort companies by profits and growth.

Leadership style seems to drive organizational performance across a wide span of industries and sectors and appears to be a crucial link in the chain from leader to climate to business success. A study of the heads of forty-two schools in the United Kingdom suggests that leadership style drove up students' academic achievement by directly affecting school climate. When the school head was flexible in leadership style and demonstrated a variety of EI abilities, teachers attitudes were more positive and students' grades higher; when the leader relied on fewer EI competencies, teachers tended to be demoralized and students underperformed academically (Hay/McBer, 2000). Effective school leaders not only created a working climate conducive to achievement but were more attuned to teachers' perceptions of such aspects of climate and organizational health as clarity of vision and level of teamwork.

The benefits of an understanding and empathic school leader were reflected in the teacher-student relationship as well. In a related follow-up analysis, Lees and Barnard (1999) studied the climates of individual classrooms, concluding that teachers who are more aware of how students feel in the classroom are better able to design a learning environment that suits students and better able to guide them toward success. Teachers who have a leader who has created a positive school climate will be better equipped to do the same in their own classrooms. Indeed, several dimensions of school climate identified in the earlier study correspond to dimensions of classroom climate. For instance, clarity of vision in a school's purpose parallels clarity of purpose in class lessons; challenging yet realistic performance standards for teachers translate into like standards for students.

A similar effect of EI-based leadership on climate and performance was demonstrated in a study of outstanding leaders in health care (Catholic Health Association, 1994). For this study, 1,200 members of health care organizations were asked to nominate outstanding leaders based on criteria such as organizational performance and anticipation of future trends. The members were then asked to evaluate the effectiveness of the nominees in fifteen key situations that leaders face—among them organizational change, diversity, and institutional integrity. The study revealed that the more effective leaders in the health care industry were also more adept at integrating key EI competencies such as Organizational Awareness and relationship skills like persuasion and influence.

The link between EI strengths in a leader and the organization's climate is important for EI theory. A Hay/McBer analysis of data on 3,781 executives, correlated with climate surveys filled out by those who worked for them, suggests that 50 to 70 percent of employees' perception of working climate is linked to the EI characteristics of the leader (Goleman, 2000b). Research drawing on that same database sheds light on the role of EI competencies in leadership effectiveness, identifying how six distinct styles of EI-based leadership affect climate. Four styles—the visionary (sometimes called the "authoritative"), the affiliative, the democratic, and the coaching—generally drive climate in a positive direction. Two styles—the coercive and the pacesetting—tend to drive climate downward, particularly when leaders overuse them (though each of these two can have positive impact if applied in appropriate situations). Table 3.1. summarizes these effects.

Figure 3.1. A FRAMEWORK OF EMOTIONAL COMPETENCIES

Leadership Style						
	Coercive	**Authoritative**	**Affiliative**	**Democratic**	**Pacesetting**	**Coach**
When Appropriate	In a crisis, to kick-start a turnaround, or with problem employees	When change requires a new vision, or when a clear direction is needed	To heal rifts in a team or to motivate during stressful times.	To build buy-in or consensus, or to get valuable input from employees.	To get quick results from a highly motivated and competent team.	To help an employee improve performance or develop long-term strengths.
Objective	Immediate compliance	Mobilize others to follow a vision.	Create harmony	Build commitment through participation.	Perform tasks to a high standard.	Build strengths for the future.
Impact on Climate	Strongly negative.	Most strongly positive.	Highly positive.	Highly positive.	Highly negative.	Highly positive.
EI Competencies	Drive to achieve; initiative, emotional self-control.	Self-confidence; empathy; change catalyst.	Empathy, building bonds; conflict management.	Collaboration; team leadership; communication.	Conscientiousness; drive to achieve; initiative.	Developing others; empathy; emotional self-awareness

Visionary leaders are empathic, self-confident, and often act as agents of change. Affiliative leaders, too, are empathic, with strengths in building relationships and managing conflict. The democratic leader encourages collaboration and teamwork and communicates effectively—particularly as an excellent listener. And the coaching leader is emotionally self-aware, empathic, and skilled at identifying and building on the potential of others.

The coercive leader relies on the power of his position, ordering people to execute his wishes, and is typically handicapped by a lack of empathy. The pacesetting leader both sets high standards and exemplifies them, exhibiting initiative and a very high drive to achieve—but to a fault, too often micromanaging or criticizing those who fail to meet her own high standards rather than helping them to improve.

The most effective leaders integrate four or more of the six styles regularly, switching to the one most appropriate in a given leadership situation. For instance, the study of school leaders found that in those schools where the heads displayed four or more leadership styles, students had superior academic performance relative to students in comparison schools. In schools where the heads displayed just one or two styles, academic performance was poorest. Often the styles here were the pacesetting or coercive ones, which tend to undermine teacher morale and enthusiasm (Hay/McBer, 2000).

Among life insurance company CEOs, the very best in terms of corporate growth and profit were those who drew upon a wide range of leadership styles (Williams, 1994).

They were adept at all four of the styles that have a positive impact on climate—visionary, democratic, affiliative, and coaching—matching them with the appropriate circumstances. They rarely exhibited the coercive or pacesetting styles.

Granted, the factors influencing organizational performance are diverse and complex. But the EI theory of performance at the collective level predicts positive links between EI leadership, organizational climate, and subsequent performance. Hay/McBer data indicate not only that EI-based leadership may be the most important driver of climate but also that climate in turn may account for 20 to 30 percent of organizational performance (Goleman, 2000b). If these data are borne out, the implications are greatly supportive of employing EI as a criterion for selection, promotion, and development: such an application becomes a competitive strategy.

Implications for the Future: EI and Higher Education

Given the value of the personal and organizational effectiveness of EI-based capabilities, there is a clear need to integrate that valuation into our organizations' functions. Organizations need to hire for emotional intelligence along with whatever other technical skills or business expertise they are seeking. When it comes to promotions and succession planning, EI should be a major criterion, particularly to the extent that a position requires leadership. When those with high potential are being selected and groomed, EI should be central. And in training and development, EI should again be a major focus.

However, because EI competencies entail emotional capacities in addition to purely cognitive abilities, modes of learning that work well for academic subjects or technical skills are not necessarily well suited for helping people improve an emotional competence (Goleman, 1998b). For this reason the Consortium for Research on Emotional Intelligence in Organizations has summarized empirical findings on the mode of learning best for emotional competencies and formulated guidelines for their effective development. The consortium has posted a technical report on its Web site (www.eiconsortium.org) and has fostered a book for HR professionals on how to make training in EI skills most effective (Cherniss & Adler, 2000).

Given our new understanding of the crucial role emotional competence plays in individual, group, and organizational success, the implication for education is clear: We should be helping young people master these competencies as essential life skills. There are already numerous school-based programs in the basics of EI, programs that deliver social and emotional learning (SEL). The Collaborative for Social and Emotional Learning has vetted the best models, and acts as a clearinghouse for these programs through its Web site (www.casel.org).

But as of this writing, when it comes to preparing young people in the essential emotional intelligence skills that matter most for their success in the workplace, for piloting their careers, and for leadership, we face a serious gap. The SEL programs cover the early school years but not higher education. Only a scattered handful of pioneering SEL courses exist at the college or professional level. And yet the data showing the crucial role EI skills play in career success make a compelling case for reenvisioning higher education in order to give these capabilities their place in a well-rounded curriculum.

Given that employers themselves are looking for EI capacities in those they hire, colleges and professional schools that offered appropriate SEL training would benefit both their graduates and the organizations they work for. The most forward-thinking educators will, I hope, recognize the importance of emotional intelligence in higher education, not just for the students, not just for the students' employers, but for the vitality of an economy as a whole. As Erasmus, the great humanist writer, tells us, “The best hope of a nation lies in the proper education of its youth.”

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Primal Leadership: The Hidden Driver of Great Performance

by Daniel Goleman, Richard E. Boyatzis, and Annie McKee

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When the theory of emotional intelligence at work began to receive widespread attention, we frequently heard executives say—in the same breath, mind you—"That's incredible," and, "Well, I've known that all along." They were responding to our research that showed an incontrovertible link between an executive's emotional maturity, exemplified by such capabilities as self-awareness and empathy, and his or her financial performance. Simply put, the research showed that "good guys"—that is, emotionally intelligent men and women—finish first.

We've recently compiled two years of new research that, we suspect, will elicit the same kind of reaction. People will first exclaim, "No way," then quickly add, "But of course." We found that of all the elements affecting bottom-line performance, the importance of the leader's mood and its attendant behaviours are most surprising. That powerful pair set off a chain reaction: The leader's mood and behaviours drive the moods and behaviours of everyone else. A cranky and ruthless boss creates a toxic organization filled with negative underachievers who ignore opportunities; an inspirational, inclusive leader spawns acolytes for whom any challenge is surmountable. The final link in the chain is performance: profit or loss.

Our observation about the overwhelming impact of the leader's "emotional style," as we call it, is not a wholesale departure from our research into emotional intelligence. It does, however, represent a deeper analysis of our earlier assertion that a leader's emotional intelligence creates a certain culture or work environment. High levels of emotional intelligence, our research showed, create climates in which information sharing, trust, healthy risk-taking, and learning flourish. Low levels of emotional intelligence create climates rife with fear and anxiety. Because tense or terrified employees can be very productive in the short term, their organizations may post good results, but they never last.

Our investigation was designed in part to look at how emotional intelligence drives performance—in particular, at how it travels from the leader through the organization to bottom-line results. "What mechanism," we asked, "binds the chain together?" To answer that question, we turned to the latest neurological and psychological research. We also drew on our work with business leaders, observations by our colleagues of hundreds of leaders, and Hay Group data on the leadership styles of thousands of executives. From this body of research, we discovered that emotional intelligence is carried through an organization like electricity through wires. To be more specific, the leader's mood is quite literally contagious, spreading quickly and inexorably throughout the business.

We'll discuss the science of mood contagion in more depth later, but first let's turn to the key implications of our finding. If a leader's mood and accompanying behaviours are indeed such potent drivers of business success, then a leader's premier task—we would even say his primal task—is emotional leadership. A leader needs to make sure that not only is he regularly in an optimistic, authentic, high-energy mood, but also that, through his chosen actions, his followers feel and act that way, too. Managing for financial results, then, begins with the leader managing his inner life so that the right emotional and behavioural chain reaction occurs.

Managing one's inner life is not easy, of course. For many of us, it's our most difficult challenge. And accurately gauging how one's emotions affect others can be just as difficult. We know of one CEO, for example, who was certain that everyone saw him as upbeat and reliable; his direct reports told us they found his cheerfulness strained, even fake, and his decisions erratic. (We call this common disconnect "CEO disease.") The implication is that primal leadership demands more than putting on a game face every day. It requires an executive to determine, through reflective analysis, how his emotional leadership drives the moods and actions of the organization, and then, with equal discipline, to adjust his behaviour accordingly.

That's not to say that leaders can't have a bad day or week: Life happens. And our research doesn't suggest that good moods have to be high-pitched or nonstop—optimistic, sincere, and realistic will do. But there is no escaping the conclusion that a leader must first attend to the impact of his mood and behaviours before moving on to his wide panoply of other critical responsibilities. In this article, we introduce a process that executives can follow to assess how others experience their leadership, and we discuss ways to calibrate that impact. But first, we'll look at why moods aren't often discussed in the workplace, how the brain works to make moods contagious, and what you need to know about CEO disease.

No Way! Yes Way

When we said earlier that people will likely respond to our new finding by saying "No way," we weren't joking. The fact is, the emotional impact of a leader is almost never discussed in the workplace, let alone in the literature on leadership and performance. For most people, "mood" feels too personal. Even though Americans can be shockingly candid about personal matters—witness the Jerry Springer Show and its ilk—we are also the most legally bound. We can't even ask the age of a job applicant. Thus, a conversation about an executive's mood or the moods he creates in his employees might be construed as an invasion of privacy.

We also might avoid talking about a leader's emotional style and its impact because, frankly, the topic feels soft. When was the last time you evaluated a subordinate's mood as part of her performance appraisal? You may have alluded to it—"Your work is hindered by an often negative perspective," or "Your enthusiasm is terrific"—but it is unlikely you mentioned mood outright, let alone discussed its impact on the organization's results.

And yet our research undoubtedly will elicit a "But of course" reaction, too. Everyone knows how much a leader's emotional state drives performance because everyone has had, at one time or another, the inspirational experience of working for an upbeat manager or the crushing experience of toiling for a sour-spirited boss. The former made everything feel possible, and as a result, stretch goals were achieved, competitors beaten, and new customers won. The latter made work gruelling. In the shadow of the boss's dark mood, other parts of the organization became "the enemy," colleagues became suspicious of one another, and customers slipped away.

Our research, and research by other social scientists, confirms the verity of these experiences. (There are, of course, rare cases when a brutal boss produces terrific results. We explore that dynamic in the sidebar "Those Wicked Bosses Who Win.") The studies are too numerous to mention here but, in aggregate, they show that when the leader is in a happy mood, the people around him view everything in a more positive light. That, in turn, makes them optimistic about achieving their goals, enhances their creativity and the efficiency of their decision making, and predisposes them to be helpful. Research

Those Wicked Bosses Who Win

Everyone knows of a rude and coercive CEO who, by all appearances, epitomizes the antithesis of emotional intelligence yet seems to reap great business results. If a leader's mood matters so much, how can we explain those mean-spirited, successful SOBs?

First, let's take a closer look at them. Just because a particular executive is the most visible, he may not actually lead the company. A CEO who heads a conglomerate may have no followers to speak of; it's his division heads who actively lead people and affect profitability.

Second, sometimes an SOB leader has strengths that counterbalance his caustic behavior, but they don't attract as much attention in the business press. In his early days at GE, Jack Welch exhibited a strong hand at the helm as he undertook a radical company turnaround. At that time and in that situation, Welch's firm, top-down style was appropriate. What got less press was how Welch subsequently settled into a more emotionally intelligent leadership style, especially when he articulated a new vision for the company and mobilized people to follow it.

Those caveats aside, let's get back to those infamous corporate leaders who seem to have achieved sterling business results despite their brutish approaches to leadership. Skeptics cite Bill Gates, for example, as a leader who gets away with a harsh style that should theoretically damage his company.

But our leadership model, which shows the effectiveness of specific leadership styles in specific situations, puts Gates's supposedly negative behaviors in a different light. (Our model is explained in detail in the HBR article

conducted by Alice Isen at Cornell in 1999, for example, found that an upbeat environment fosters mental efficiency, making people better at taking in and understanding information, at using decision rules in complex judgments, and at being flexible in their thinking. Other research directly links mood and financial performance. In 1986, for instance, Martin Seligman and Peter Schulman of the University of Pennsylvania demonstrated that insurance agents who had a "glass half-full" outlook were far more able than their more pessimistic peers to persist despite rejections, and thus, they closed more sales. (For more information on these studies and a list of our research base, visit www.eiconsortium.org.)

Many leaders whose emotional styles create a dysfunctional environment are eventually fired. (Of course, that's rarely the stated reason; poor results are.) But it doesn't have to end that way. Just as a bad mood can be turned around, so can the spread of toxic feelings from an emotionally inept leader. A look inside the brain explains both why and how.

The Science of Moods

A growing body of research on the human brain proves that, for better or worse, leaders' moods affect the emotions of the people around them. The reason for that lies in what scientists call the open-loop nature of the brain's limbic system, our emotional centre. A closed-loop system is self-regulating, whereas an open-loop system depends on external sources to manage itself. In other words, we rely on connections with other people to determine our moods.

The open-loop limbic system was a winning design in evolution because it let people come to one another's emotional rescue— enabling a mother, for example, to soothe her crying infant.

The open-loop design serves the same purpose today as it did thousands of years ago. Research in intensive care units has shown, for example, that the comforting presence of another person not only lowers the patient's blood pressure but also slows the secretion of fatty acids that block arteries. Another study found that three or more incidents of intense stress within a year (for example, serious financial trouble, being fired, or a divorce) triples the death rate in socially isolated middle-aged men, but it has no impact on the death rate of men with many close relationships.

Scientists describe the open loop as “interpersonal limbic regulation”; one person transmits signals that can alter hormone levels, cardiovascular functions, sleep rhythms, even immune functions, inside the body of another. That’s how couples are able to trigger surges of oxytocin in each other’s brains, creating a pleasant, affectionate feeling. But in all aspects of social life, our physiologies intermingle. Our limbic system’s open-loop design lets other people change our very physiology and hence, our emotions.

Even though the open loop is so much a part of our lives, we usually don’t notice the process. Scientists have captured the attunement of emotions in the laboratory by measuring the physiology—such as heart rate—of two people sharing a good conversation. As the interaction begins, their bodies operate at different rhythms. But after 15 minutes, the physiological profiles of their bodies look remarkably similar.

“Leadership That Gets Results,” which appeared in the March—April 2000 issue.) Gates is the achievement-driven leader par excellence, in an organization that has cherry-picked highly talented and motivated people. His apparently harsh leadership style—baldly challenging employees to surpass their past performance—can be quite effective when employees are competent, motivated, and need little direction—all characteristics of Microsoft’s engineers.

In short, it’s all too easy for a skeptic to argue against the importance of leaders who manage their moods by citing a “rough and tough” leader who achieved good business results despite his bad behavior. We contend that there are, of course, exceptions to the rule, and that in some specific business cases, an SOB boss resonates just fine. But in general, leaders who are jerks must reform or else their moods and actions will eventually catch up with them.

Researchers have seen again and again how emotions spread irresistibly in this way whenever people are near one another. As far back as 1981, psychologists Howard Friedman and Ronald Riggio found that even completely nonverbal expressiveness can affect other people. For example, when three strangers sit facing one another in silence for a minute or two, the most emotionally expressive of the three transmits his or her mood to the other two—without a single word being spoken.

The same holds true in the office, boardroom, or shop floor; group members inevitably “catch” feelings from one another. In 2000, Caroline Bartel at New York University and Richard Saavedra at the University of Michigan found that in 70 work teams across diverse industries, people in meetings together ended up sharing moods—both good and bad— within two hours. One study asked teams of nurses and accountants to monitor their moods over weeks; researchers discovered that their emotions tracked together, and they were largely independent of each team’s shared hassles. Groups, therefore, like individuals, ride emotional roller coasters, sharing everything from jealousy to angst to euphoria. (A good mood, incidentally, spreads most swiftly by the judicious use of humour. For more on this, see the sidebar “Smile and the World Smiles with You.”)

Smile and the World Smiles with You

Remember that old cliché? It's not too far from the truth. As we've shown, mood contagion is a real neurological phenomenon, but not all emotions spread with the same ease. A 1999 study conducted by Sigal Barsade at the Yale School of Management showed that, among working groups, cheerfulness and warmth spread easily, while irritability caught on less so, and depression least of all.

It should come as no surprise that laughter is the most contagious of all emotions. Hearing laughter, we find it almost impossible not to laugh or smile, too. That's because some of our brain's open-loop circuits are designed to detect smiles and laughter, making us respond in kind. Scientists theorize that this dynamic was hardwired into our brains ages ago because smiles and laughter had a way of cementing alliances, thus helping the species survive.

The main implication here for leaders undertaking the primal task of managing their moods and the moods of others is this: Humour hastens the spread of an upbeat climate. But like the leader's mood in general, humour must resonate with the organization's culture and its reality. Smiles and laughter, we would posit, are only contagious when they'er genuine.

Moods that start at the top tend to move the fastest because everyone watches the boss. They take their emotional cues from him. Even when the boss isn't highly visible—for example, the CEO who works behind closed doors on an upper floor—his attitude affects the moods of his direct reports, and a domino effect ripples throughout the company.

Call That CEO a Doctor

If the leader's mood is so important, then he or she had better get into a good one, right? Yes, but the full answer is more complicated than that. A leader's mood has the greatest impact on performance when it is upbeat. But it must also be in tune with those around him. We call this dynamic resonance. (For more on this, see the sidebar "Get Happy, Carefully.")

We found that an alarming number of leaders do not really know if they have resonance with their organizations. Rather, they suffer from CEO disease; it's one unpleasant symptom is the sufferer's near-total ignorance about how his mood and actions appear to the organization. It's not that leaders don't care how they are perceived; most do. But they incorrectly assume that they can decipher this information themselves. Worse, they think that if they are having a negative effect, someone will tell them. They're wrong.

As one CEO in our research explains, "I so often feel I'm not getting the truth. I can never put my finger on it, because no one is actually lying to me. But I can sense that people are hiding information or camouflaging key facts. They aren't lying, but neither are they telling me everything I need to know. I'm always second-guessing."

People don't tell leaders the whole truth about their emotional impact for many reasons. Sometimes they are scared of being the bearer of bad news—and getting shot. Others feel it isn't their place to comment on such a personal topic. Still others don't realize that what they really want to talk about is the effects of the leader's emotional style—that feels too vague. Whatever the reason, the CEO can't rely on his followers to spontaneously give him the full picture.

Taking Stock

The process we recommend for self-discovery and personal reinvention is neither new-fangled nor born of pop psychology, like so many self-help programs offered to executives today. Rather, it is based on three streams of research into how executives can improve the emotional intelligence capabilities most closely linked to effective leadership. (Information on these research streams can also be found at www.eiconsortium.org.) In 1989, one of us (Richard Boyatzis) began drawing on this body of research to design the five-step process itself, and since then, thousands of executives have used it successfully.

Unlike more traditional forms of coaching, our process is based on brain science. A person's emotional skills—the attitude and abilities with which someone approaches life and work— are not genetically hardwired, like eye colour and skin tone. But in some ways they might as well be, because they are so deeply embedded in our neurology.

A person's emotional skills do, in fact, have a genetic component. Scientists have discovered, for instance, the gene for shyness—which is not a mood, per se, but it can certainly drive a person toward a persistently quiet demeanour, which may be read as a "down" mood. Other people are preternaturally jolly—that is, their relentless cheerfulness seems preternatural until you meet their peppy parents. As one executive explains, "All I know is that ever since I was a baby, I have always been happy. It drives some people crazy, but I couldn't get blue if I tried. And my brother is the exact same way; he saw the bright side of life, even during his divorce."

Get Happy, Carefully

Good moods galvanize good performance, but it doesn't make sense for a leader to be as chipper as a blue jay at dawn if sales are tanking or the business is going under. The most effective executives display moods and behaviours that match the situation at hand, with a healthy dose of optimism mixed in. They respect how other people are feeling—even if it is glum or defeated—but they also model what it looks like to move forward with hope and humour.

This kind of performance, which we call resonance, is for all intents and purposes the four components of emotional intelligence in action.

Self-awareness, perhaps the most essential of the emotional intelligence competencies, is the ability to read your own emotions. It allows people to know their strengths and limitations and feel confident about their self-worth. Resonant leaders use self-awareness to gauge their own moods accurately, and they intuitively know how they are affecting others.

Self-management is the ability to control your emotions and act with honesty and integrity in reliable and adaptable ways. Resonant leaders don't let their occasional bad moods seize the day; they use self-management to leave it outside the office or to explain its source to people in a reasonable manner, so they know where it's coming from and how long it might last.

Social awareness includes the key capabilities of empathy and organizational intuition. Socially aware executives do more than sense other people's emotions, they show that they care. Further, they are experts at reading the currents of office politics. Thus, resonant leaders often keenly understand how their words and actions make others feel, and they are sensitive enough to change them when that impact is negative.

Relationship management, the last of the emotional intelligence competencies, includes the abilities to communicate clearly and convincingly, disarm conflicts, and build strong personal bonds. Resonant leaders use these skills to spread their enthusiasm and solve disagreements, often with humor and kindness.

As effective as resonant leadership is, it is just as rare. Most people suffer through dissonant leaders whose toxic moods and upsetting behaviours wreak havoc before a hopeful and realistic leader repairs the situation.

Consider what happened recently at an experimental division of the BBC, the British media giant. Even though the group's 200 or so journalists and editors had given their best effort, management decided to close the division.

The shutdown itself was bad enough, but the brusque, contentious mood and manner of the executive sent to deliver the news to the assembled staff incited something beyond the expected frustration. People became enraged—at both the decision and the bearer of the news. The executive's cranky mood and delivery created an atmosphere so threatening that he had to call security to be ushered from the room.

The next day, another executive visited the same staff. His mood was sombre and respectful, as was his behaviour. He spoke about the importance of journalism to the vibrancy of a society and of the calling that had drawn them all to the field in the first place. He reminded them that no one goes into

Even though emotional skills are partly inborn, experience plays a major role in how the genes are expressed. A happy baby whose parents die or who endures physical abuse may grow into a melancholy adult. A cranky toddler may turn into a cheerful adult after discovering a fulfilling avocation. Still, research suggests that our range of emotional skills is relatively set by our mid-20s and that our accompanying behaviours are, by that time, deep-seated habits. And therein lies the rub: The more we act a certain way—be it happy, depressed, or cranky—the more the behaviour becomes ingrained in our brain circuitry, and the more we will continue to feel and act that way.

That's why emotional intelligence matters so much for a leader. An emotionally intelligent leader can monitor his or her moods through self-awareness, change them for the better through self-management, understand their impact through empathy, and act in ways that boost others' moods through relationship management.

The following five-part process is designed to rewire the brain toward more emotionally intelligent behaviours. The process begins with imagining your ideal self and then coming to terms with your real self, as others experience you. The next step is creating a tactical plan to bridge the gap between ideal and real, and after that, to practice those activities. It concludes with creating a community of colleagues and family—call them change enforcers —to keep the process alive. Let's look at the steps in more detail.

"Who do I want to be?"

Sofia, a senior manager at a northern European telecommunications company, knew she needed to understand how her emotional leadership affected others. Whenever she felt stressed, she tended to communicate poorly and take over subordinates' work so that the job would be done "right." Attending leadership seminars hadn't changed her habits, and neither had reading management books or working with mentors.

When Sofia came to us, we asked her to imagine herself eight years from now as an effective leader and to write a description of a typical day. "What would she be doing?" we asked. "Where would she live? Who would be there? How would it feel?" We urged her to consider her deepest values and loftiest dreams and to explain how those ideals had become a part of her everyday life.

journalism to get rich —as a profession its finances have always been marginal, job security ebbing and flowing with the larger economic tides. He recalled a time in his own career when he had been let go and how he had struggled to find a new position—but how he had stayed dedicated to the profession. Finally, he wished them well in getting on with their careers.

The reaction from what had been an angry mob the day before? When this resonant leader finished speaking, the staff cheered.

Sofia pictured herself leading her own tight-knit company staffed by ten colleagues. She was enjoying an open relationship with her daughter and had trusting relationships with her friends and co-workers. She saw herself as a relaxed and happy leader and parent and as loving and empowering to all those around her.

In general, Sofia had a low level of self-awareness: She was rarely able to pinpoint why she was struggling at work and at home. All she could say was, "Nothing is working right." This exercise, which prompted her to picture what life would look life if everything were going right, opened her eyes to the missing elements in her emotional style. She was able to see the impact she had on people in her life.

"Who am I now?"

In the next step of the discovery process, you come to see your leadership style as others do. This is both difficult and dangerous. Difficult, because few people have the guts to tell the boss or a colleague what he's really like. And dangerous, because such information can sting or even paralyze. A small bit of ignorance about yourself isn't always a bad thing: Ego-defence mechanisms have their advantages. Research by Martin Seligman shows that high-functioning people generally feel more optimistic about their prospects and possibilities than average performers. Their rose-colored lenses, in fact, fuel the enthusiasm and energy that make the unexpected and the extraordinary achievable. Playwright Henrik Ibsen called such self-delusions "vital lies," soothing mistruths we let ourselves believe in order to face a daunting world.

But self-delusion should come in very small doses. Executives should relentlessly seek the truth about themselves, especially since it is sure to be somewhat diluted when they hear it anyway. One way to get the truth is to keep an extremely open attitude toward critiques. Another is to seek out negative feedback, even cultivating a colleague or two to play devil's advocate.

We also highly recommend gathering feedback from as many people as possible—including bosses, peers, and subordinates. Feedback from subordinates and peers is especially helpful because it most accurately predicts a leader's effectiveness, two, four, and even seven years out, according to research by Glenn McEvoy at Utah State and Richard Beatty at Rutgers University.

Of course, 360-degree feedback doesn't specifically ask people to evaluate your moods, actions, and their impact. But it does reveal how people experience you. For instance, when people rate how well you listen, they are really reporting how well they think you hear them. Similarly, when 360-degree feedback elicits ratings about coaching effectiveness, the answers show whether or not people feel you understand and care about them. When the feedback uncovers low scores on, say, openness to new ideas, it means that people experience you as inaccessible or unapproachable or both. In sum, all you need to know about your emotional impact is in 360-degree feedback, if you look for it.

One last note on this second step. It is, of course, crucial to identify your areas of weakness. But focusing only on your weaknesses can be dispiriting. That's why it is just as important, maybe even more so, to understand your strengths. Knowing where your real self-overlaps with your ideal self will give you the positive energy you need to move forward to the next step in the process—bridging the gaps.

"How do I get from here to there?"

Once you know who you want to be and have compared it with how people see you, you need to devise an action plan. For Sofia, this meant planning for a real improvement in her level of self-awareness. So she asked each member of her team at work to give her feedback —weekly, anonymously, and in written form—about her mood and performance and their effect on people. She also committed herself to three tough but achievable tasks: spending an hour each day reflecting on her behaviour in a journal, taking a class on group dynamics at a local college, and enlisting the help of a trusted colleague as an informal coach.

Consider, too, how Juan, a marketing executive for the Latin American division of a major integrated energy company, completed this step. Juan was charged with growing the company in his home country of Venezuela as well as in the entire region—a job that would require him to be a coach and a visionary and to have an encouraging, optimistic outlook. Yet 360-degree feedback revealed that Juan was seen as intimidating and internally focused. Many of his direct reports saw him as a grouch—impossible to please at his worst, and emotionally draining at his best.

Identifying this gap allowed Juan to craft a plan with manageable steps toward improvement. He knew he needed to hone his powers of empathy if he wanted to develop a coaching style, so he committed to various activities that would let him practice that skill. For instance, Juan decided to get to know each of his subordinates better; if he understood more about who they were, he thought, he'd be more able to help them reach their goals. He made plans with each employee to meet outside of work, where they might be more comfortable revealing their feelings.

Juan also looked for areas outside of his job to forge his missing links—for example, coaching his daughter's soccer team and volunteering at a local crisis centre. Both activities helped him to experiment with how well he understood others and to try out new behaviours.

Again, let's look at the brain science at work. Juan was trying to overcome ingrained behaviours—his approach to work had taken hold over time, without his realizing it. Bringing them into awareness was a crucial step toward changing them. As he paid more attention, the situations that arose—while listening to a colleague, coaching soccer, or talking on the phone to someone who was distraught—all became cues that stimulated him to break old habits and try new responses.

This cueing for habit change is neural as well as perceptual. Researchers at the University of Pittsburgh and Carnegie Mellon University have shown that as we mentally prepare for a task, we activate the prefrontal cortex—the part of the brain that moves us into action. The greater the prior activation, the better we do at the task.

Such mental preparation becomes particularly important when we're trying to replace an old habit with a better one. As neuroscientist Cameron Carter at the University of Pittsburgh found, the prefrontal cortex becomes particularly active when a person prepares to overcome a habitual response. The aroused prefrontal cortex marks the brain's focus on what's about to happen. Without that arousal, a person will re-enact tried-and-true but undesirable routines: The executive who just doesn't listen will once again cut off his subordinate, a ruthless leader will launch into yet another critical attack, and so on. That's why a learning agenda is so important. Without one, we literally do not have the brainpower to change.

"How do I make change stick?"

In short, making change last requires practice. The reason, again, lies in the brain. It takes doing and redoing, over and over, to break old neural habits. A leader must rehearse a new behaviour until it becomes automatic—that is, until he's mastered it at the level of implicit learning. Only then will the new wiring replace the old. While it is best to practice new behaviors, as Juan did, sometimes just envisioning them will do. Take the case of Tom, an executive who wanted to close the gap between his real self (perceived by colleagues and subordinates to be cold and hard driving) and his ideal self (a visionary and a coach).

Tom's learning plan involved finding opportunities to step back and coach his employees rather than jumping down their throats when he sensed they were wrong. Tom also began to spend idle moments during his commute thinking through how to handle encounters he would have that day. One morning, while en route to a breakfast meeting with an employee who seemed to be bungling a project, Tom ran through a positive scenario in his mind. He asked questions and listened to be sure he fully understood the situation before trying to solve the problem. He anticipated feeling impatient, and he rehearsed how he would handle these feelings.

Studies on the brain affirm the benefits of Tom's visualization technique: Imagining something in vivid detail can fire the same brain cells actually involved in doing that activity. The new brain circuitry appears to go through its paces, strengthening connections, even when we merely repeat the sequence in our minds. So to alleviate the fears associated with trying out riskier ways of leading, we should first visualize some likely scenarios. Doing so will make us feel less awkward when we actually put the new skills into practice.

Experimenting with new behaviours and seizing opportunities inside and outside of work to practice them—as well as using such methods as mental rehearsal—eventually triggers in our brains the neural connections necessary for genuine change to occur. Even so, lasting change doesn't happen through experimentation and brain-power alone. We need, as the song goes, a little help from our friends.

"Who can help me?"

The fifth step in the self-discovery and reinvention process is creating a community of supporters. Take, for example, managers at Unilever who formed learning groups as part of their executive development process. At first, they gathered to discuss their careers and how to provide leadership. But because they were also charged with discussing their dreams and their learning goals, they soon realized that they were discussing both their work and their personal lives. They developed a strong mutual trust and began relying on one another for frank feedback as they worked on strengthening their leadership abilities. When this happens, the business benefits through stronger performance. Many professionals today have created similar groups, and for good reason. People we trust let us try out unfamiliar parts of our leadership repertoire without risk.

We cannot improve our emotional intelligence or change our leadership style without help from others. We not only practice with other people but also rely on them to create a safe environment in which to experiment. We need to get feedback about how our actions affect others and to assess our progress on our learning agenda.

In fact, perhaps paradoxically, in the self-directed learning process we draw on others every step of the way—from articulating and refining our ideal self and comparing it with the reality to the final assessment that affirms our progress. Our relationships offer us the very context in which we understand our progress and comprehend the usefulness of what we're learning.

Mood over Matter

When we say that managing your mood and the moods of your followers is the task of primal leadership, we certainly don't mean to suggest that mood is all that matters. As we've noted, your actions are critical, and mood and actions together must resonate with the organization and with reality. Similarly, we acknowledge all the other challenges leaders must conquer—from strategy to hiring to new product development. It's all in a long day's work.

But taken as a whole, the message sent by neurological, psychological, and organizational research is startling in its clarity. Emotional leadership is the spark that ignites a company's performance, creating a bonfire of success or a landscape of ashes. Moods matter that much.

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Questionnaire 2

Johari Window Questionnaire

Instructions:
• Carefully read each numbered item and its statements marked "A" and "B."
• Assign a point value to the A and B statements as follows:
• The total point value for A and B added together is five (5).
• If statement A is most similar to what you would do, mark 5 for A and 0 for B.
• If A is not wholly satisfactory, but in your judgment better than B, mark 4 or 3 for A and 1 or 2 for B.
• The converse is true: if B is best mark 5 for B and 0 for A and so on.

1) If a friend of mine had a "personality conflict" with a mutual acquaintance of ours with whom it was important for him/her to get along, I would:

_____ **A**. Tell my friend that I felt s/he was partially responsible for any problems with this other person and try to let him/her know how the person was being affected by him/her.

_____ **B.** Not get involved because I wouldn't be able to continue to get along with both of them once I had entered in any way.

2) If one of my friends and I had a heated argument in the past and I realized that s/he was ill at ease around me from that time on, I would:

_____ **A.** Avoid making things worse by discussing his/her behaviour and just let the whole thing drop.

_____ **B.** Bring up his/her behaviour and ask him/her how s/he felt the argument had affected our relationship.

3) If a friend began to avoid me and act in an aloof and withdrawn manner, I would:

_____ **A**. Tell him/her about his/her behaviour and suggest that s/he tell me what was on his/her mind.

_____ **B**. Follow his/her lead and keep our contact brief and aloof since that seems to be what s/he wants.

4) If two of my friends and I were talking and one of my friends slipped and brought up a personal problem of mine that involved the other friend, of which s/he was not yet aware, I would:

_____ **A**. Change the subject and signal my friend to do the same.

_____ **B**. Fill my uniformed friend in on what the other friend was talking about and suggest that we go into it later.

5) If a friend of mine were to tell me that, in his/her opinion, I was doing things that made me less effective than I might be in social situations, I would:

_____ **A**. Ask him/her to spell out or describe what s/he has observed and suggest changes I might make.

_____ **B**. Resent his/her criticism and let him/her know why I behave the way I do.

6) If one of my friends aspired to an office in our organization for which I felt s/he was unqualified, and if s/he had been tentatively assigned to that position by the leader of our group, I would:

_____ **A**. Not mention my misgivings to either my friend or the leader of our group and let them handle it in their own way.

_____ **B**. Tell my friend and the leader of our group of my misgivings and then leave the final decision up to them.

7) If I felt that one of my friends was being unfair to me and his/her other friends, but none of them had mentioned anything about it, I would:

_____ **A**. Ask several of these people how they perceived the situation to see if they felt s/he was being unfair.

_____ **B**. Not ask the others how they perceived our friend, but wait for them to bring it up with me.

8) If I were preoccupied with some personal matters and a friend told me that I had become irritated with him/her and others and that I was jumping on him/her for unimportant things, I would:

_____ **A**. Tell him/her I was preoccupied and would probably be on edge for a while and would prefer not to be bothered.

_____ **B**. Listen to his/her complaints but not try to explain my actions to him/her.

9) If I had heard some friends discussing an ugly rumour about a friend of mine which I knew could hurt him/her and s/he asked me what I knew about it, if anything, I would:

_____ **A**. Say I didn't know anything about it and tell him/her no one would believe a rumour like that anyway.

_____ **B**. Tell him/her exactly what I had heard, when I had heard it, and from whom I had heard it.

10) If a friend pointed out the fact that I had a personality conflict with another friend with whom it was important for me to get along, I would:

_____ **A**. Consider his/her comments out of line and tell him/her I didn't want to discuss the matter any further.

_____ **B**. Talk about it openly with him/her to find out how my behaviour was being affected by this.

11) If my relationship with a friend has been damaged by repeated arguments on an issue of importance to us both, I would:

_____ **A**. be cautious in my conversations with him/her so the issue would not come up again to worsen our relationship.

_____ **B**. Point to the problems the controversy was causing in our relationship and suggest that we discuss it until we get it resolved.

12) If in a personal discussion with a friend about his/her problems and behaviour s/he suddenly suggested we discuss my problems and behaviour as well as his/her own, I would:

_____ **A.** Try to keep the discussion away from me by suggesting that other, closer friends often talked to me about such matters.

_____ **B**. Welcome the opportunity to hear what s/he felt about me and encourage his/her comments.

13) If a friend of mine began to tell me about his/her hostile feelings about another friend whom s/he felt was being unkind to others (and I agreed wholeheartedly), I would:

_____ **A.** Listen and also express my own feelings to me/her so s/he would know where I stood.

_____ **B**. Listen, but not express my own negative views and opinion because s/he might repeat what I said to him/her in confidence.

14) If I thought an ugly rumour was being spread about me and suspected that one of my friends had quite likely heard it, I would:

_____ **A.** Avoid mentioning the issue and leave it to him/her to tell me about it if s/he wanted to.

_____ **B**. Risk putting him/her on the spot by asking him/her directly what s/he knew about the whole thing.

15) If I had observed a friend in social situations and thought that s/he was doing a number of things which hurt his/her relationships, I would:

_____ **A**. Risk being seen as a busy body and tell him/her what I had observed and my reactions to it.

_____ **B**. Keep my opinion to myself rather than be seen as interfering in things that are none of my business.

16) If two friends and I were talking and one of them inadvertently mentioned a personal problem which involved me, but of which I knew nothing, I would:

_____ **A**. Press them for information about the problem and their opinions about it.

_____ **B**. Leave it up to my friends to tell me or not tell me, letting them change the subject if they wished.

17) If a friend seemed to be preoccupied and began to jump on me for seemingly unimportant things, and became irritated with me and others without real cause, I would:

_____ A. Treat him/her with kid gloves for a while on the assumption that s/he was having some temporary personal problems which were none of my business.

_____ B. Try to talk to him/her about it and point out to him/her how his/her behaviour was affecting people.

18) If I had begun to dislike certain habits of a friend to the point that it was interfering with my enjoying his/her company, I would:

_____ **A**. Say nothing to him/her directly, but let him/her know my feelings by ignoring him/her whenever his/her annoying habits were obvious.

_____ **B**. Get my feelings out in the open and clear the air so that we could continue our friendship comfortably and enjoyably.

19) In discussing social behaviour with one of my more sensitive friends, I would:

_____ **A**. Avoid mentioning his/her flaws and weaknesses so as not to hurt his/her feelings.

_____ **B**. Focus on his/her flaws and weaknesses so s/he could improve his/her interpersonal skills.

20) If I knew I might be assigned to an important position in our group and my friends' attitudes toward me had become rather negative, I would:

_____ **A**. Discuss my shortcomings with my friends so I could see where to improve.

_____ **B**. Try to figure out my own shortcomings by myself so I could improve.

Calculating Your Scores:

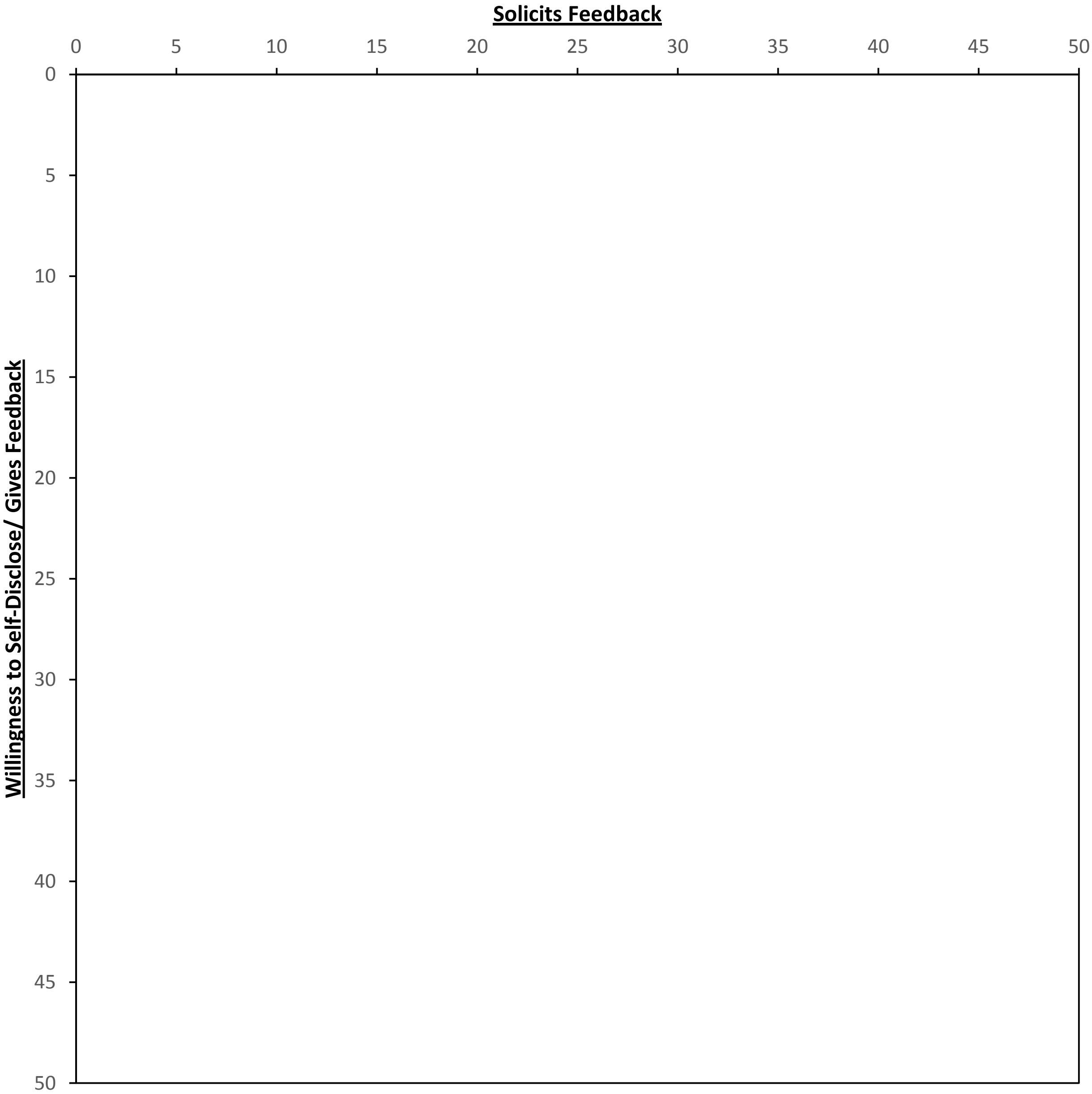
Copy your point values from the questionnaire to the appropriate spaces below. Add up the total points for each column.

Solicits Feedback	Willingness to Self-Disclose/ Gives Feedback
2B ________ **3A ________** **5A ________** **7A ________** **8B ________** **10B________** **12B________** **14B________** **16A________** **20A________**	**1A ________** **4B ________** **6B ________** **9B ________** **11B________** **13A________** **15A________** **17B________** **18B________** **19B________**
Total________ **>> to top axis**	**Total________** **>> to left axis**

Charting Your Scores:

• On the top line of the graph below, mark your score for **Solicits Feedback**, then draw a vertical line downward.

• On the left line of the graph below, mark your score for **Willingness to Self-Disclose/ Gives Feedback**, then draw a line across horizontally (left to right).



The Johari Window: Interpretation

Introduction

The Johari Window, named after the first names of its inventors, Joseph Luft and Harry Ingham, is one of the most useful models describing the process of human interaction. A four paned "window," as illustrated below, divides personal awareness into four different types, as represented by its four quadrants: open, hidden, blind, and unknown. The lines dividing the four panes are like window shades, which can move as an interaction progresses.

	Known to self	**Not known to self**
Known to others	1 Open	2 Blind
Not known to others	3 Hidden	4 Unknown

In this model, each person is represented by their own window.

1. The "open" quadrant represents things that both you know about yourself, and that people know about you. For example, you know your name, and so do your colleagues and friends. Most will know some of your interests and family information. The knowledge that the window represents, can include not only factual information, but feelings, motives, behaviours, wants, needs and desires... indeed, any information describing who you are. When you first meet a new person, the size of the opening of this first quadrant is not very large, since there has been little time to exchange information. As the process of getting to know one another continues, the window shades move down or to the right, placing more information into the open window, as described below.

2. The "blind" quadrant represents things that others know about you, but that you are unaware of. So, for example, you could be eating at a restaurant, and may have unknowingly gotten some food onto your face. This information is in the blind quadrant because others can see it, but you cannot. If you are told that you have something on your face, then the window shade moves to the right, enlarging the open quadrant's area. Now, you may also have blindspots with respect to many other much more complex things. For example, perhaps during conversations with a colleague you may notice that eye contact seems to be lacking. You may not say anything, since you may not want to embarrass the person but you may still draw your own inferences that perhaps the person is being insincere. Then the problem is, how to get this information out in the open, since it may be affecting the level of trustthat is developing between people? How can you learn more about yourself?
Unfortunately, there is no readily available answer. You may notice a slight hesitation on the part of a colleague and perhaps this may lead to a question. Developing trust is clearly important.

3. The "hidden" quadrant represents things that you know about yourself, which others do not know. So for example, few will know what newspapers you regularly read or any allergies you may have - unless you have specifically discussed these issues. This information is in your "hidden" quadrant. As soon as you state that you are allergic to peanuts you are pulling the window shade down, moving the information in your hidden quadrant and enlarging the open quadrant's area. Again, there are vast amounts of information, virtually your whole life's story, which has yet to be revealed to others. As you get to know and trust others, you will then feel more comfortable disclosing more intimate details about yourself. This process is called: ***"Self-disclosure".***

4. The "unknown" quadrant represents things that neither you nor others know about you. For example, you may disclose, to a colleague, an unformed idea that you had for your organisation and you both attempt to understand its significance, a new awareness may emerge, known to neither of you before the conversation took place. Being placed in new situations often reveal new information not previously known to self or others. For example, occasionally you will meet people who were terrified of speaking in public, but were surprised to learn that in particular situations the task was not daunting and when placed in that situation, not only did the person perform well but also enjoyed it. Indeed others attending may have commented that the person was shy prior to this event. Thus, a novel situation can trigger new awareness and personal growth. The process can also be viewed as a game, where the open quadrant is synonymous with the win-win situation. Much, much more has been written on the Johari window model of human interaction.

The process of enlarging the open quadrant is called self-disclosure, a give and take process between people and those they interact with. Typically, as you share something about yourself (moving information from the hidden quadrant into the open) and if the other party is interested in getting to know you, they will reciprocate, by similarly disclosing information in their hidden quadrant. Thus, an interaction between two parties can be modelled dynamically as two active Johari windows. For example, one may respond to your disclosure that you are allergic to peanuts by letting you know about a new treatment for allergies - kinds of information in the hidden quadrants.

In the context of an organisation, disclosure is generally healthy. However, Anita Kelly recently wrote that self-disclosure of personal secrets has its dangers. We are often better off not telling secrets regarding our sexual behaviour, mental health problems or large-scale failures. "If you give people information about yourself, you give them power over you," she says. Be forewarned that most secrets get passed along to at least two more parties. People also misjudge how others respond to secrets. Sometimes you get negative feedback. Now, if you must tell your secret to someone, choose that person very carefully. Choose someone whose response will give you some insight into your problem. Unfortunately, such a person is often hard to find. So if you cannot find anyone appropriate, consider this: that keeping secrets is healthy and tasteful, because it is a way of managing your identity, and indicates you are secure and have self-control. But it takes energy, because you have to be on constant guard not to accidentally reveal something that is potentially damaging. As ones' level of confidence and self-esteem develops, one may actively invite others to comment on one's blind spots.

The Johari Window, essentially being a model for communication, can also reveal difficulties in this area. In Johari terms, two people attempt to communicate via the open quadrants. On the simplest level, difficulties may arise due to a lack of clarity in the interaction, such as poor grammar or choice of words, unorganised thoughts, faulty logic etc. This induces the receiver to criticise you, the sender, by revealing something that was in your blind quadrant. Then, if the feedback works, you correct it immediately, or perhaps on a more long term approach undertake a course of study in, say, logic and business management.

On a deeper level, you may be in a group meeting, and while you secretly sympathise with the minority viewpoint, you voted with the majority. However, blind to you, you actually may be communicating this information via body language, in conflict with your verbal message. On an even deeper level you, in an interaction with others, may always put on a smiling, happy face, hiding all negative feelings. By withholding negative feelings, you may be signalling to your friends to withhold also, and keep their distance. Thus, your communication style may seem bland or distant. Our society is constructed so that many of us get very specialised, knowing only a small academic field very well, while being virtually ignorant of all others. This specialisation is blinding many of us to what is happening outside our immediate sphere.

Principles of Change within The Johari Window

1. A change in any one quadrant will affect all other quadrants.
2. Threat tends to decrease awareness; mutual trust tends to increase awareness.
3. Forced awareness (exposure) is undesirable and usually ineffective.
4. Interpersonal learning means a change has taken place so that Quadrant I is larger, and one or more of the other quadrants has grown smaller.
5. Working with others is facilitated by a large enough areas of free activity. This means more of the resources and skills in the membership can be applied to the task at hand.
6. The smaller the first quadrant, the poorer the communication.
7. There is universal curiosity about the unknown area; but this is held in check by custom, social training, and by diverse fears.
8. Sensitivity means appreciating the covert aspects of behaviour, in Quadrants II. III. IV and respecting the desire of others to keep them so.
9. The value system of a group and its membership may be noted in the way unknowns in the life of the group are confronted.
10. A centipede may be perfectly happy without awareness, but after all, he restricts himself to crawling under rocks.

In summary

• Self-disclosure reduces the hidden area
• Feedback reduces the blind area
• Together they reduce the unknown area

Useful References:

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EK RUKA HUA FAISLA

Que 1) Map the personality profile of each member and discuss its impact on their respective behavior/stand taken.

Ans. 1) The story revolves around twelve male members of a jury who have gathered together in room to deliberate on charges of murder against a young boy accused of killing his father. The case against the boy looks irrefutable and indomitable. All the jury members, except one – Juror 8, are convinced that the boy is guilty of the crime. Juror 8 is not completely convinced about the case and he starts the deliberations, in which all the members have to participate to reach a common conclusion.

The nature of each character is slowly revealed through the process of the discussions which reflect their personal beliefs, convictions, notions, idiosyncrasies, prejudices, and cultural & social backgrounds. In this paper I have tried to determine the personality of each of these characters on the basis of the structure of their personalities or psychological state at work (I used these parameters which were provided in the select readings provided to us by Prof. Bhupen Srivastava).

Juror 1 **(Deepak Kejriwal)** is the appointed **foreman** of the group who attempts to keep the deliberation orderly and procedural. He is the facilitator and the mediator of the discussion and is hence expected to be someone who guides by laying out a list of "How to"s, "should"s and should not"s. The main role of the foreman is to maintain the correctness of the discussion and to stop the group from getting into irrelevant discussions. He is a person who is either **active** by nature or by role and is hence playing the role of the **initiator**. Other active members supported the initiative taken by that individual.

Juror 2 (Amitabh Srivastava) is the timid first-timer who is easily persuaded and influenced during tense moments. He tries hard to keep up with the group. He also tries to keep the discussion peaceful. The character shows a typical passive constructive personality. Although not an initiator but he was very keen in the discussion and was constructively taking part. His analytical skills were very sharp and he came up with a valid point about the time taken by the one of the witnesses (lady witness) to observe the entire situation. He was more of a follower and the kind of a guy who is influenced by the majority, more willing to receive than to give. For the better part of the movie this character is easily snubbed by the Juror #3. But eventually, he speaks up about some evidence that bothered him.

Juror 3 (Pankaj Kapur) is the loud-mouth, **condescending, criticizing** member of the group. Though he plays the role of the most dissentaneous character till the end and is falsely convinced that the accused is the murderer; his heart-wrenching story of himself being the father deserted by his only son expounds the reason for his stand. The strained relationship causes him to feel angry toward all young people, thereby influencing his vote. As time goes on he becomes more personally involved with the case. He comes across as a **rigid proud person** who is not open to new data and bases his judgment on archaic material. He does not actively listen to any of the points made by the people in favor of the accused. He depicts an **active-destructive personality**. He is over emotional and he takes the case very personally. He is extremely active in the decision making process but in a destructive way having an attacking and commanding attitude.

Juror 4 (S.M. Zaheer) is the well-dressed stockbroker who comes off as conceited and unemotional. He based his decisions on hardcore facts and adheres to rules and regulations. He demonstrates an active constructive personality. During the entire decision making process he is very patient and calm. All his statements and comments all were backed by logic and rationales. He is curt, stoic and self-assured. Although he is marginally biased against the accused but he is open to counter arguments and listened to them attentively. He proves to be a good team member leading the side who wanted to prove the accused guilty of all charges.

Juror 5 (Subhash Udghate) comes from the same slum as the defendant and does not react well to others prejudice. Since he hails from a **similar background** he is in a better position to understand the accused situations and **empathize** with him, than any other in the jury member. He relies on his logics and rationales ad is finally convinced that the boy is not guilty only because of the valid points that juror #8 provided. He demonstrates a **passive constructive** personality. He actively takes part in the discussions, giving some valid points related to the proper use of the switch knife etc.

Juror 6 (Hemant Mishra) plays a **secondary role** in the movie, with no substantial contributions. He also demonstrates a passive constructive personality. This character does not shy away from voicing his opinions and likes to **maintain decorum** during the discussions. Initially he was also against the accused but with the rational logics given by juror #8 he was convinced that the boy is not guilty.

Juror 7 (M.K Raina) very effortlessly demonstrates the role of a **self-centered person** who is more worried about his own comforts and leisure than being fair and detailed. He shows least concern about the case even though a life was dependent on it. He is least bother about the importance of the decisions taken with respect to the accused person's life. His personal affairs are more important to him than the life of that boy. He snubbed all the suggestions and throws tantrums every time the group follows an order that is against his comforts and expectations. He show no regard to protocols or justice and does not actively support the decision making process.

Juror 8 (K.K Raina) is the **voice of reason**, and plays the most crucial role. At the beginning, he is the only member of the jury who votes 'not guilty' and withstands all the pressure from the other jury members. By saying that it's not easy for him sentence a boy to death without even discussing the facts he opens the other jury member's minds to the possibility that the accused may not be guilty. He is calm, cool, and collected, and is probably one of the few jury members who **fully understand his role** as a jury. Along with this, he approaches the trial **logically, calmly and competently** by scrutinizing each and every fact discussed during the trial, so that they are doubly sure that they haven't left any loop-hole during their decision making process.

Juror 9 (Anu Kapoor) is the old and wise juror who proves to be open to difference in opinions and supports them. He brings along with him loads of wisdom and experience which eventually helps the jury members to come to a conclusion regarding a faulty witness. This character shows a lot of patience but is still agitated due to inappropriate behaviour on the part of other jurors. His passion for truth and justice drives his decision making process and helps him to logically analyse all the facts.

Juror 10 (Subbiraj) is the most actively destructive juror having his original opinions and prejudices which are biased in nature. He demonstrates a clear cut example of a personalized approach leading to destructive behavior. His community biases lead to many verbal conflicts resulting in an aggressive approach.

Juror 11 (Shailendra Goel) is also one of the characters which show an adult ego state almost throughout the decision making process. This proves to be a blessing in disguise for a situation like this wherein there are some elements who do not take their roles seriously resulting in an aggressive environment which is required to be controlled and pacified.

Juror 12(Aziz Qureshi) portrays the role of the most indifferent character who is busy doodling away his time and has agreed to be a member just for the fun and money. He demonstrates a typical child ego state, which is playful, excited but not serious.

Consequently we can say that each juror had his own personal prejudices and biases, weaknesses, cultural differences, ignorance and fears that impaired their decision making skills and cause them to ignore the real issues of the case.

Que 2) Team has powerful influence in effecting the change in the mindsets (values, belief, system, attitude, etc.) of its members. Explain giving suitable illustrations from the film.

Ans. 2) A team can be divided as a group of people having a common vision, carrying out a specific task by following specific rules and protocols to achieve a common goal/mission/objective. In this movie 12 jury members are appointed by the court to discuss the case and reach to a consensus about the final decision of the case.

Systems theorists have long believed that when individuals "merge into a group" something new is created. This called the GESTALT effect which says **whole is much more powerful and effective than a part.** This new entity, although comprised of individuals, is believed to be "greater than the sum of its parts" and thus the dynamic that is created within the group is not directly attributed to any one individual but rather the unique interrelationship between those individuals and the force that this interrelationship has on group functioning.

Written below are the various benefits of teams, observed:-

1. <u>Understanding group dynamics and creating participation and involvement:</u> In the movie, 12 jury members have to reach a consensus. So the consent of every jury member was required. This required an underlined understanding of where the group stood with respect to trust, disclosure and acceptance. Also everyone was individually asked about their views and they have to give appropriate reasons. Thus involvement of each and every member was there. Participation of each and every member of the group was encouraged. They were forced to share their point of views. . Here also it has been strongly depicted that the group dynamics play a highly important role in changing the mindset of its members. For example the character played by Pankaj Kapur was very stringent and stubborn for most of the part of the movie, but the group was successful in changing his perception regarding the new generation.

2. <u>Facilitating better group effectiveness by honing every member's decision making abilities</u>: at the beginning of the discussion 11 out of 12 jurors considered the accused to be guilty of murdering his father. The final decision made later shows that even after so many sessions in the court many issues were left unexplored. These were unearthed during this group task. This helped the group to make a decision considering all the true facts and hence they were able to make a fair and just decision. Due to this the innocent boy was realized of all the charges. So as a result of this team work the effectiveness of the group as well as individual decision making ability increased 12 folds.

3. <u>Better management and utilization of conflicts by generation of diverse ideas</u>: all the brainstorming and teamwork helped in exposing all those facts which were not even thought of during the entire trial and which finally helped in proving the boy innocent. For example the fact that the lady witness wore spectacles and it would have been difficult for her to recognize the killer from such a far away distance. Or the time taken by the old man with an injured leg to reach the place where he saw the boy running away from home.

There were many instances when many of the jury members contradict each other and heated arguments usually followed these conflicts. But at the end everyone came out with a unanimous decision by accepting their differences and acknowledging to the facts.

Que 3) Describe the major attributes, style and approach of the main protagonist in the film. Illustrate your response with examples.

Ans. 3) The main protagonist was the Juror #8, played by Mr. K K Raina.

The major attributes, style and approach are discussed below:-

a) **Openness and ability to voice opinions:** He is the voice of reason, and the most crucial character in the movie. In the beginning, he is the only member of the jury who votes ‘not guilty' and withstands pressure from all other eleven jury members. By doing this, he opens the other jury members to the possibility that the accused may not be guilty. His calm, cool, and collected demeanor infuses confidence in the audience, and shows that he is probably one of the few jury members who fully understand his role.

   All that Juror 8 wants is to give the accused a fair chance by structurally going forward with the process of scrutinizing every fact and detail. He is the first to question the evidence that is brought forward. He went to lengths to prove his point and to convince people of his opinions. For example, the knife which was the weapon of crime was supposed to be unique and rare to find. He proved this wrong by buying the same kind of knife from a local shop. He approaches the trial in a very logical and organized manner. He stood out due to his ethics, motives, passion for fair and just hearing, and rational approach.

b) **Believed in Fair and Wise Judgments – Ethics and Justice:** Juror #8 proves to be an *ethical* person. This is reinforced by the fact that despite of so many ethical dilemmas encountered by the protagonists, he never budged from his values and ethics, and continued lookin forward to a just and fair discussion. For example, even when 11 out of 12 jury members were against him he did not get intimidated by numbers. He told them that he was not entirely convinced and considers it ethically wrong to sentence a boy to such a fate without discussing about the case properly. In some parts of the movie he acts like a counselor too. He tries to convince Juror #3 to think about the case leaving all prejudices behind.

c) **Logical and Rational Approach:** An architect by profession he brings with him a logical, rational and analytical way of going forward with the procedure. Right from the beginning he says that he does not know for sure whether the accused is guilty or not, and neither does he have any valid points to put forward but all that he wants is a discussion about the same so that they are able to validate their beliefs. For him sentencing someone to a death penalty is a huge decision and he would require pure logic and valid reasons to prove him that the accused deserves such a harsh penalty. He likes to overanalyze the facts so that every aspect of the problem is studied in detail.

   He contributes some very logical and valid counter arguments that were not even thought of by others. For example the fact that the lady witness wore spectacles and it would have been difficult for her to recognize the killer from such a far away distance, or the time taken by the old man with an injured leg, to reach the point where he saw the boy running away from home. The old man who lived in the apartment exactly below the crime scene, had heard the accused shouting just few seconds before he heard someone scream and fall with a thud. He said that he then saw the young boy running from the stairs. All this according to him took 15-20 sec. But the juror 8 proved that for a person that old, walking with the help of a stick, cannot reach the staircase in just 15 seconds. In fact he himself demonstrated that it will take minimum of 41 seconds to reach there.

d) **Leadership and Influence:** The character demonstrates great leadership skills and influencing capabilities. Even though in the beginning, he was the only person against 11 jurors, he eventually convinced people that the case is not as simple and straight as it has laid out to be. He tells them that according to him there are various loop-holes in the case which need to be discussed and scrutinized in order to reach a fair judgment. He believes in logically approaching the discussion and hence convinced everyone to do the same. Being a performer and a through and through hard worker, he devotedly does his studies the case, the witnesses and the crime scene to come up with any loop-holes which will help them to reach a conclusion about the case. Being the leader that he is, he believes in his gut feeling and follows it right from the beginning till the end. His greatest strength was the ability to positively influence others.

e) Finally, this character proves to be a **go-getter**, and an **initiator** who actively seeks truth while maintaining a calm, peaceful and pleasant demeanor throughout the procedure despite of being provoked a number of times. Being an achiever and a confident man he actively listens to his fellow jurors' opinions and point of views, and encourages them to think and rationalize.

Que 4) Outline the lessons learnt from the movie particularly with reference to the role of group processes and process facilitation in making team an effective medium of change.

Ans. 4) The film "Ek Ruka Hua Faisla" exemplifies many social psychology theories. This tense, compelling film features a group of jurors who must decide the fate of an accused boy. Initially eleven out of the twelve jurors vote guilty. Gradually, through heated discussion, the jurors are swayed to a not-guilty decision. Upon examination, the film highlights social psychology theories in areas of **attitude change, conformity, and group process.**

1. **Attitudinal Change:** Persuasion, being a function of attitude, plays an integral aspect in the intriguing nature of the movie. Persuasion is the process by which attitudes are changed. They are the tools through which people persuade others to agree with what is right and just or apt. There are two ways to persuasion: peripheral and central.

   The **central route** is the process by which a person carefully ponders upon a communication and is eventually influenced by the power of argument. Juror #8 and Juror #4, both follow this approach towards attitudinal change. Juror #8 appeals for the accused's innocence in a well-thought, organized and elucidated manner. He stipulates his points through empirical evidence and eventually sways the other jurors. The central route to persuasion characterized Fonda's approach. Likewise, the businessman uses his curt, stoic and inductive nature to create a strong, convincing argument based on facts. Lastly, Juror #11 applies the central route to persuasion when he advocates, “going deeper,” in reference to an examination of the facts.

The **peripheral route** of persuasion is characterized by superficial cues surrounding the argument rather than validity of the facts presented in the argument. Juror #10 and 7 display this kind of an approach. Where on one hand Juror #10 very inappropriately urges other jurors to construe an attitude based on peripheral ethnic and racial cues, Juror #7 asks them to get away with the decision as soon as possible since there is no use in discussing the facts as maximum number of them were convinced the boy was guilty. Through the use of non-factual, environmental cues, the sick gentlemen utilizes the peripheral route to persuasion.

Route selection is another component of relevance in the movie. The jurors who care deeply about the fate of the accused boy, are concerned with justice, take pride in their intellect regardless of social status, and are involved in discussion susceptible to the central route.

Those who are not able to understand the complexity of the trial, are distracted and pressed for time tend to take the peripheral route. This phenomenon is exemplified by the Juror #10 who complains about his business being interrupted and speaks English poorly, Juror #7 who urgently wants to make it to the movie theatre and finally by Juror #3 who is distracted by his own personal rage, brought forth by the young accused boy.

2. **<u>Conformity:</u>** the film demonstrates the power of social influences and shows us how prejudices and biases can cloud our decision making capacities. Informational social influence and normative **social influence** are the two theories of conformity that can be studies here. According to informational social influence individuals conform because they come to a conclusion that the other’s interpretation of the ambiguous situation at hand is more valid, than their own. This is intensified by the ambiguity of situation, importance of being correct, time constraints, and presence of those perceived as experts. Normative social influence is a theory that states the cause of individual conformity is due to the possibility of appearing deviant.

   So it can be seen that the way a group works can highly influence the working capacity and the effectiveness of the decisions made by them.

3. **<u>Group Process:</u>** **Social facilitation** theory states, presence of others hinders performance on difficult tasks but enhances performance on easy tasks. Within the film a meek man of high intellect is left speechless and apprehensive when approached by the group for a valuation of his opinion. This timid first-timer establishes his intellect later in the film but initially, under the scrutiny of others, he is unable to come up with viable, valid response. This demonstrates evaluation apprehension theory, a component of social facilitation. This theory states that the presence of others will produce social facilitation effects when the audience is perceived as potential evaluators.

   Juror #8’s adherence and conviction to evaluating the case is an example of **social compensation**. This character believes in the justice and morality implied within the constitutional guarantee afforded by the jury process.

Group polarization is the concept that group discussion generally serves to strengthen the already dominant point of view. This often leads to risky shift. The movie initially exemplifies this process but with consistent contempt is suppressed by Juror #8 and the people who support him.

Hence it becomes imperative for any team to give their team members the following:-

- Equal and fair chance to voice their opinions i.e. good space for Self-Observation.
- A welcoming and supporting environment i.e. a conducive environment for Self-Disclosure.
- Experience trust, acceptance and understanding within the team.
- Vicarious learning i.e. a chance to pick up skills and attitudes from others.
- Good insight to expand self-knowledge.
- Share other people's experiences- concerns, difficulties and hopes.

This will indeed **make the team an effective medium of change.**

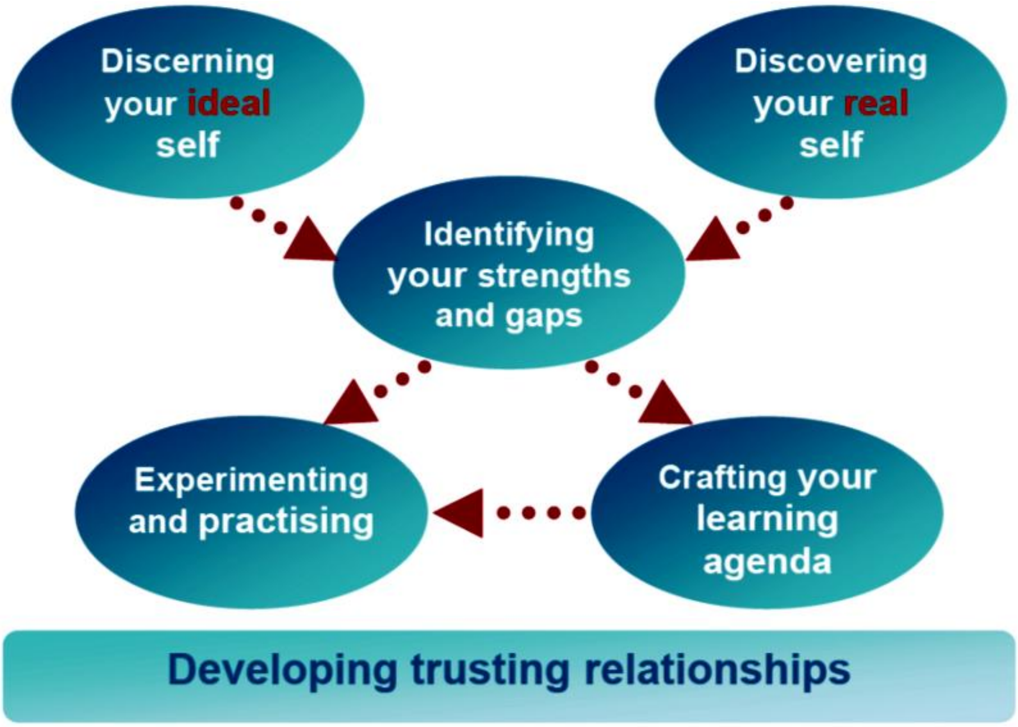
Handout: PATH TO IMPROVEMENT

Boyatzis' Model of Intentional Change

Richard Boyatzis and Daniel Goleman have contributed to our understanding of how we can be more effective in the ways in which we deal with other people, especially in the workplace environment.

Goleman focuses on the emotional aspect of our interactions with other people and is particularly well known for the development of the concept of "Emotional Intelligence ". Boyatzis focuses on the ways in which we can learn new behaviours and attitudes. His model of intentional change exhibits what he has found to be the most important elements in a conscious attempt to change the way we interact with other people.

The diagram below shows a slightly simplified version of Boyatzis' model of intentional change. It arises out of work by Daniel Goleman and Richard Boyatzis on Emotional Intelligence.



Daniel Goleman reads the diagram as five "discoveries":

The first discovery

We discover that there is a discrepancy between the person we believe we are ("my real self") and the person we want to be ("my ideal self"). A phenomenon, situation or incident brings this discrepancy strongly into our awareness and we discover a felt need to change.

The second discovery

If we feel sufficiently motivated to change we "take a look in the mirror" to get a better sense of who we really are. This enables us to discover the strengths that we can build on and the gaps that exist between our current real and ideal selves.

The third discovery

We discover that if our intention to change is to become a reality, we need a plan. We need to learn new behaviours and improve some of our existing abilities. We need a personal learning agenda.

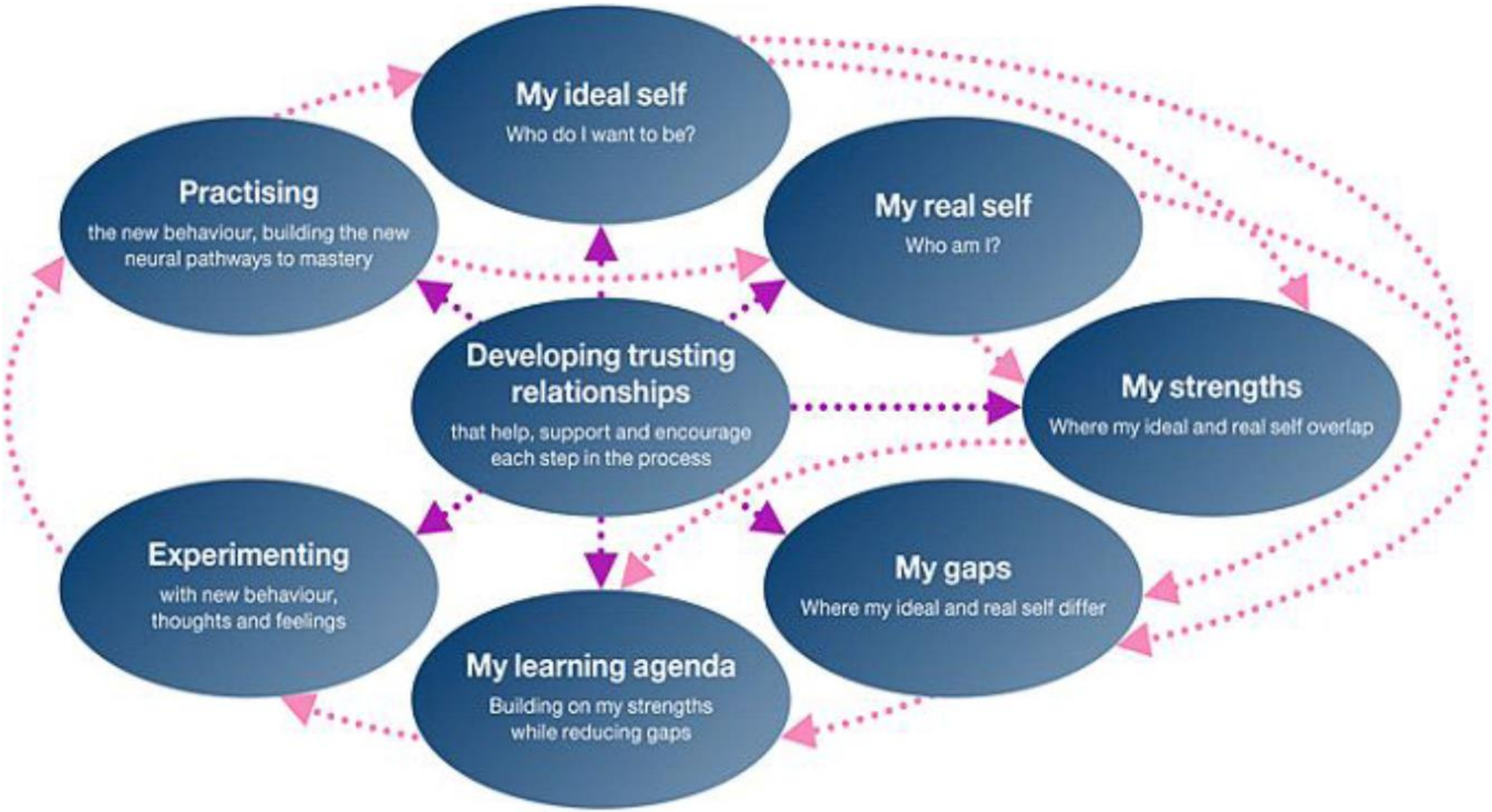
The fourth discovery

We discover that we can experiment with new behaviours and practice new skills. By consciously adopting new ways of doing things and new ways of thinking about our world we actually begin to change.

The fifth discovery

At some point in the process we discover that it is much easier to change ourselves with the support of people we can trust. Indeed, it may not be possible to achieve that change without the encouragement of other people who are well-disposed towards us. In order to change we need to take risks. We discover that to feel able to experiment and practice we need to feel a measure of psychological safety. We can find that in supportive and trusting relationships.

Boyatzis' Theory of Self-Directed Learning (Goleman, Boyatzis and McKee, 2002)



Day II (Forenoon) Interpersonal Relations

Session-at-a-Glance

Session Plan	Session Structure	Teaching Methods	Time
Learning Objective: To create an awareness in the participants with regard to the different aspects of interpersonal relations. **Resources required:** • Projector and computer • Flipcharts, marker pens • PowerPoint Slides	Introduction Analysis of different ego states Analysis of Transactions, Strokes and Life Position Empathy Trust	Questionnaire Lecture cum discussion Lecture cum discussion Lecture & case study. Game Lecture & Discussion	20 min 25 min 25 min 30 min 30 min 20 min
			150

Instructor Guide

1. Introduction

In this section, participants are to be provided with theoretical knowledge with regard to nature, types and outcomes of various interpersonal relationships in relation with Transactional Analysis.

2. Analysis of Ego States

In this session Ego States are to be analysed with the help of concrete examples in the organisational set up. This session involves the use of a lecture-cum-discussion method.

After the analysis of ego status the questionnaire for identifying the same may be administered to the participants and their responses scored in accordance with the scoring schedule provided. The scores are then analysed and interpreted in order to provide the participants information regarding this relative positions with regard to different ego states.

3. Analysis of Transactions

The participants should be made aware of the different types of transactions such as complementary, crossed and ulterior transactions and are then encouraged to identify their predominant style of transaction. Then the merits and demerits of the different styles are evaluated and the need, scope and method of changing the styles as and when required is also discussed.

4. Analysis of Strokes

Strokes can be considered in the simplest way as forms of rewards (appreciations) and punishments. They can be either positive or negative and all people need them for being and also for performing. After providing the awareness regarding the different stroking patterns to the participants, they are asked to make an evaluation of their stroking patterns and identify their merits and demerits and also to suggest changes, if any, required in stroking patterns to enhance interpersonal relationships.

5. Analysis of Life Positions

As per the concepts involved in Transactional Analysis, four different types of

Life positions have been identified. They are:

1. I am OK; You are OK

2. I am not OK; You are not OK

3. I am OK; You are not OK

4. I am not OK; You are OK

The trainer has to provide evaluative information regarding these life positions to the participants and they should be encouraged to identify their life positions and understand merits and demerits. The participants are also made to come out with suggestions for changing their life positions in accordance with the appropriation of the situations in order to enhance interpersonal contracts.

6. Empathy

The trainer should explain 'empathy'. For this the material and slides are given in this STM. Then re-enforce the idea with the case study. The Case study material will be read by the participants. The trainer may ask the participants to identify empathy traits. The trainer may encourage the participants to discuss their own examples where they have been able to demonstrate empathy and where they felt that people around them had been empathic. (Participants will often confuse sympathy and empathy. The trainer needs to explain how they differ).

7. Trust

Start by playing the **Principles Game**. Then, ask what is 'Trust'? What is the relevance of trust in work place? What problems do they foresee if there is lack of trust? Then Ask whom do they trust and whom do they do not trust?

QUESTIONNAIRE: EXPLORING YOUR PERSONALITY

Show how frequently you do each of the following behaviours by placing (✓) in the proper column opposite each item.

	Frequency				
	Almost Never	**Rarely**	**Sometimes**	**Frequently**	**Very Frequently**
1. I give people reasons why my work isn't done					
2. I feel bad about something (about what someone did or said to me, or about something I did or said)					
3. I expect people to do what I say					
4. I send out a questionnaire or carry out a survey to get needed information					
5. I do what my boss says to do even when it's difficult					
6. I feel guilty about something (not getting a job done on time, coming in late, working too hard, and so on)					
7. I play a hunch without bothering to gather factual data.					
8. I smile at other people (co-workers, subordinates, customers, superiors, and so on)					
9. I suggest that an ill person see the nurse or take the rest of the day off.					
10. I insist that things be done my way.					
11. I hear a voice in my head saying something like: "Those people should………..					
12. When I know something won't be ready when I want it, I repeatedly ask if it might possible be ready ahead of schedule.					
13. I find ways to make a boring task interesting.					
14. I attend classes, programs, seminars, and so on, to improve my job skills.					
15. I have a feeling that something unusual is about to happen before it happens.					
16. I plan ways to do things that might be considered harmful, illegal, or unethical.					
17. I say (or think) things like: "What would you do without me?"					

18. I do a little dance step when walking into a friend's office or work area.					
19. I correct subordinates when they fail to perform up to standard					
20. I cleverly figure out how to get my own way at someone else's expense					
21. I keep calm when in an emotionally charged atmosphere.					
22. I help my co-workers, subordinates, or boss by going a little out of my way to do something for them.					
23. I feel hurt and go off somewhere to be by myself.					
24. I put people down without thinking.					
25. I take a stretch break and really enjoy the feeling of loosening up my muscles and relaxing					
26. I say "please" and "thank you".					
27. I say or think things like: "I'll do it for them; they can't be expected to handle it."					
28. I talk about facts when another person is in need of comfort.					
29. I take the last one of the doughnuts or other goodies someone brought for coffee break.					
30. I gather necessary information and then use my sixth sense to make an accurate interpretation					
31. I help out co-worker in an emergency					
32. I insist that others take care of themselves-for example, that they wear a coat on a windy day or carry an umbrella if it looks like ran.					
33. I answer the phone in a well-modulated voice, giving my name or the name of my organisation or unit.					
34. I slyly work out a way to avoid doing a job that's been assigned to me.					
35. I set people straight when they aren't doing their job properly					
36. I set standards for proper performance.					

KEY: EXPLORING YOUR PERSONALITY

Now that you've filled out the questionnaire. Let's score it. Here's how to do it.

1. Give yourself a score for each question using this formula

4 points for "very frequently"

3 points for "frequently"

2 point for "sometimes"

1 point for "rarely"

0 points for "almost never"

2. Write your scores in the proper boxes in the chart. The score would be entered in the box that is in grey colour. For example, if you answered question 1 with "sometimes," you would put a "2" in the box indicated for question 1. If you answered "very frequently" for question 2, you would put a "4" in the box designated for question 2, and so on.

3. Add the numbers in each column and enter the totals in the spaces provided. The total for the first column is your score for your CP (Controlling Parent). The total for the column labeled NP is your score for your Nurturing Parent, and so on.

CP - Controlling Parent

NP – Nurturing Parent

A - Adult

NC – Natural Child

LP - Little Professor

AC - Adapted Child

EVALUATION SHEET: EXPLORING YOUR PERSONALITY

	Ego State					
	CP	**NP**	**A**	**NC**	**LP**	**AC**
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
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31						
32						
33						
34						
35						
36						
TOTALS						
	CP	**NP**	**A**	**NC**	**LP**	**AC**

Reading Material for Facilitator and participants.

ANALYSIS OF DIFFERENT EGO STATES & ANALYSIS OF TRANSACTIONS, STROKES AND LIFE POSITION

Introduction

All of us are social beings and interact with others in the process of satisfying our human needs and achieving our goals. In management, irrespective of your level, you have to interact with others – peers, superiors and subordinates. And most importantly, in some organizations, with general public. You may have to communicate with people of different sexes, ages, education, skills, personalities and temperaments.

Ability to understand the nature and dynamics of interactions with others will help an individual to become more effective communicator – which means more positive respect for self, better performance and achievement of organizational goals, more satisfied and committed employees, effective relationships with superiors and peers, more satisfied consumers or clients.

What is Transactional Analysis? What does T/A do? What does T/A not do? What are the dynamics of T/A? How can I become more effective with the use of T/A?

What is Transactional Analysis?

"Transactional Analysis (T/A) is one of the tools developed by behavioural scientists which is used for analysis of transactions" or understanding of communications that occur between people. It is a rational approach to understanding behaviour and is based on the assumption that any person can learn to trust himself or herself, think rationally, make independent decisions, and express feelings.

"Transactional Analysis" is a tool but also a complete theory of personality, containing techniques of psychotherapy for personal and social growth. A "transaction" means any exchange or interaction that occurs between two or more persons.

Transactional analysis concerns itself with the kinds of communication – both verbal and non-verbal – that occur between people. The emphasis of Transactional Analysis is upon positive communication.

Transactional Analysis is widely utilised as a consultation method in educational programmes, social institutions, business, hospitals, churches, government organizations, and other organizations. The late Eric Berne, M.D., the principal innovator and developer of Transactional Analysis, began experimenting with his ideas by applying them to group psychotherapy, but more recently it is widely used in family, couples and individuals work.

What does Transactional Analysis do or not do?

Transactional Analysis increases understanding of self and others. It decreases tendency to be critical of self and others. Transactional Analysis helps reduces stress, frustration and anxiety levels!

A few hours exposure to Transactional Analysis is not necessarily going to result in any person being transformed in to a happy and an effective person. Transactional Analysis does not erase all human relations difficulties. All emotional problems won't be solved with a brief training period and traditional way of doing things that may be non-productive. Lot will depend upon the trainer. There are several who present themselves as experts. These people do more harm than good. Many companies have successfully incorporated Transactional Analysis training in to their overall personnel development programmes. These organizations represent private and public sector industries. State Governments, police systems, educational institutions, municipalities, and professional associations. The benefit which an organization derives from Transactional Analysis are better process diagnosis; clearer problem analysis; reduced non-communication: new tools for selecting people for entry and promotion; and less psychological pollution.

Structural Analysis

According to Transactional Analysis theory, everyone's personality has three parts, called *ego states*. These *ego* states are named *Parent*, *Adult*, and *Child*. When we capitalize these words, we are talking about *ego states* rather than real parents, adults or children. Structural analysis involves analysing the personality to discover the nature of our ego states. You can use structural analysis to better understand who you are and how you got that way. It will help you learn about the various sources of thoughts, feelings and opinions in your personality. Knowing your personality better can add to your effectiveness on the job.

i) The Parent Ego State

Every one develops a Parent ego state when as children they absorb certain attitudes and ways of behaving from parental figures. When you feel, think, or act as you saw your parents (or other authority figures) act when you were little, you are in your Parent ego state. While in your Parent, you may act in either a controlling, sometimes critical way or in a nurturing, sometimes loving way. Here are some examples of statements you are likely to make while in your Parent.

- Controlling Parent: "Nobody can leave until this report is finished"

- Nurturing Parent: "I'm sorry you're not feeling well today. Would you like to go over to the nurse's office and get some help? I'll take care of your station".

While in our Parent we respond automatically almost as if a tape recording were playing in our heads and directing our words and actions. For this reason, we often use the phrase "Parent tapes" to refer to:

- dialogue from Parent figures stored in our heads, and

- automatic responses we make while in our Parent ego state

ii) The Adult Ego State

Although we respond automatically when in our Parent, we respond analytically when in our Adult. Whenever you are gathering information, reasoning things out, estimating probabilities, and so on, you are in your Adult ego state. While in this ego state you are cool and collected: you make decisions unemotionally. You just want the facts. The Adult ego state has nothing to do with age. Little children have Adult ego states too! For example, when four-year-old Kristi says, "I bet Jeff is home – I see his car," she is using her budding Adult, since she is calmly estimating probabilities on the basis of facts.

iii) The Child Ego State

Yes, even though you're an adult, you have a Child inside you. While in your Child ego state, you feel and act like the little person you once were. Your Child has all of the feelings and impulses of a newborn. It also includes your mental recordings of your:

- early experiences

- reactions to these experiences, and

- learned view of yourself and other people

Free or Natural Child (FC or NC)

This is the source of our spontaneity, energy and curiosity, with all our potential for life. It represents the way we are when we are born – natural, loving, carefree, adventurous and trusting – with all our capacities for leading a joyful and meaningful existence. This part of us knows no rules and consequently operates without regard for others and is unconcerned about their reactions. Witness the behaviour of the twelvemonth-

old exploring its environment! Of course, it would be impossible to maintain the structure of a society on such a basis, and without some adaptations.

In fact, in many grown-ups the adaptations are so extensive that they rarely use their Free Child. Some examples of the expression of the Free Child in an organization are: the joy of a major breakthrough in research and the fun at an office party (alcohol first 'strips away' the Parent, then the Adult!).

Adapted Child

As suggested, it does not seem possible to live in a continuous Free Child state and live with other people at the same time. From an early age, we make adaptations to help us get along with and get attention from authority figures, most notably our own parents. Some of these may develop in line with general practice in our society, eg., specific modes of eye and body contact; saying 'please', 'thank you' and 'sorry' at the appropriate times; not making personal comments about others in public.

Note how uncomfortable we often feel with those who have not adapted to these culturally agreed ways of behaving. Many more adaptations are unique to the particular family and its situation, and are important in marking us out as individuals. Some examples that create problems in adulthood and are relevant to organizations are compliance, procrastination and rebellion.

Compliance

Some individuals learn when they are young that the way to get along is always to say 'yes'. Their problem in adulthood is saying 'yes' when their better judgement, experience and knowledge suggests that arguing the point and asserting themselves would be more appropriate. Some personal and organizational disasters might have been avoided if some people had not been so compliant in the past. (Of course, some people in power want nothing better than for others to do exactly what they are told!)

Procrastination

Some people learn when they are young that a good way to get attention is to procrastinate. Consider these examples from family life:

'C'mon, get a move on, or we'll miss the shops!'

'Look, put that doll down, tie your shoe laces up and let's get going.

You're making us late again!'

If a child decides on this basis that delaying gets attention, in adulthood the individual may still be indulging in this behaviour. Certainly, being late is a good way to get attention in organizations (albeit negative) and it may use up more energy, money and time than it is worth (clock cards, counselling interviews, disciplinary interviews etc). Flexitime is no guarantee of cure.

Rebellion

Many children only get attention when they are 'naughty'. Such individuals in adulthood may continue this behaviour by seeking bosses and/or institutions (eg. banks, local government, and the police) to constantly fight and rebel against.

Little Professor

Another functional aspect of the Child ego state is frequently introduced and used, although its relationship to the other two is unclear. This is the Little Professor, the intuitive part of us that senses things about other people in a flash. This part of us has those brilliant, non-logical insights giving us solutions to problems that typify some of the major breakthrough in the growth of scientific knowledge.

Transactions and its Analysis

Transactional analysis is related with the way in which individuals interact with each other. It explains the mechanism that takes place when people are having conversation or are trying to exchange their thoughts, feelings and ideas with each other. Thus, Transactional Analysis essentially refers to the analysis of interactions between people. According to Transactional Analysis, transactions is stimulus plus response (S+R). If two or more people encounter each other, sooner or later one of them will speak, or give some other indication of acknowledging the presence of the others. This is called the "transactional stimulus". Another person will then say or do something which is in some way related to the stimulus, and that is called transaction response. Transactional Analysis involves the study of the social transactions between people and it deals with determining which part of the multiple-natured individual is being activated Parent, Adult or Child.

Transactions and its Types

Normally there are three types of transactions:

(1) Complementary Transactions;

(2) Crossed Transactions;

(3) Ulterior Transactions:

  (a) Duplex;

  (b) Angular

(i) Complementary Transactions

A transaction is complementary when communication continues on parallel lines between individuals and the lines of stimulus and response are parallel. Thus, the message transmitted from one ego-state elicits an expected and appropriate response from the proper ego-state of the other individual. The transactions are complementary because both are acting in the perceived and expected ego-states. Usually, in such a case, both individuals are satisfied, everyone feels OK and the communication is complete.

Complementary transactions can take place between A-A, P-C, P-P and so on.

(ii) Crossed Transactions

The lines of stimulus and Response cross each other in case of crossed transactions. Whenever the stimulus and response cross on the P-A-C transactional diagram, communication stops. Transactions become uncomplimentary. The message sent by one ego-state is responded to from an incompatible, unexpected ego-state of another person. The inappropriate response generates feelings of hurt and anger and the individuals, instead of coming closer, divert from each other. Crossed transactions are the source of much interpersonal conflict in an organisation. They inhibit free flow of ideas, free thinking, creativity and social interactions. Crossed transactions have many possible dysfunctional consequences for the organisation.

(iii) Ulterior Transactions

The ulterior type of transactions are most complex because the communication has double meaning as more than ego-states are involved in them. When ulterior message is sent, the literal and intent meanings are not one and the same. Ulterior message is often disguised in a socially acceptable way. On the surface level, the communication has a clear Adult message, whereas it carries a hidden message on the psychological level. Ulterior transactions like crossed transactions are undesirable as they damage interpersonal relationships.

Strokes

You've seen that transactions can be open, blocked, or ulterior. It's also important to recognize that whenever two people are transacting, they are exchanging "strokes". What are strokes? To help you understand that term, let's look at an important discovery made by Rene Spitz. Spitz found that keeping infants fed and in a clean environment was not enough. Such infants became weak and almost seemed to shrivel up if they were not cuddled and stroked. Infants who are touched very little may become physically and mentally retarded; those not touched at all seem to "give up" and die. Before Spitz discovered this, doctors often puzzled at the high death rate in orphanage nurseries. Today in such nurseries "grandmothers" and "grandfathers" volunteer to come in and just cuddle infants.

In Transactional Analysis language, the term "stroke" refers to the giving of some kind of recognition to a person. This may or may not involve physical touching. As we grow from infancy into childhood and then adulthood, we do not entirely lose our need for stroking. Part of our original need for physical stroking seems to be satisfied with symbolic stroking. We no longer need constant cuddling, but we still need attention. When we receive a stroke, we may choose to feel either good or bad. If we choose to feel good, we might think of the stroke as a "warm fuzzy" (or positive stroke). On the flip side, if we choose to feel bad, we can think of it as a "cold prickly" (or negative stroke).

Since we have a basic need for strokes, we will work hard to get them. For example, ignored children will engage in all sorts of creative acts to get stroked. Often such children quickly learn that they can get strokes by:

- talking in a loud, whiny, high-pitched voice,
- spilling milk on a clean table cloth, and
- injuring themselves

A child who carries out one of these actions is likely to get a cold prickly (negative stroke). But it seems to make no difference to a stroke-deprived child. To such a child, any kind of stroke is better than none at all: a cold prickly is better than nothing! The same is true for adults who work in a stroke-deprived environment.

Example

Lennie, a shipping clerk in a small mail-order firm, worked alone. Yet he got a lot of strokes from Kevin, his supervisor. Kevin often stopped by Lennie's work station just to chat. These strokes were not usually given for any particular job performance since Lennie's job was rather routine and didn't require any special skills. However, Kevin did compliment Lennie for his consistent performance.

Then one day Kevin was promoted. Lennie's new supervisor, Laura, had a different approach. She didn't stop to chat with her subordinates and spoke to them only when she was dissatisfied with their work.

Life positions

Another way of looking at relationships between people is through the concept of 'life position', sometimes referred to as the basic position or existential position. A person's life position at any given time expresses in some way just how that individual is relating to others in terms of thinking, feeling and behaving.

There are four basic life positions, shown below referred to as the OK corral.

OK Corral

I'm not OK You're OK	**I'm OK You're OK**
I'm not OK You're not OK	**I'm OK You're not OK**

Examples of Life Positions

The idea of life positions can be demonstrating the following examples.

1. 'Hey, we did a good job there', says the boss.

'Yes, things ar really going well for us now', says the subordinate

(I'm OK, you're OK)

2. 'Your work is not up to the standard I need in this department!' says the boss

(I'm OK, you're not OK)

3. 'I wish I could keep on top of things the way you can', says the subordinate

(I'm not OK, you're OK)

4. 'Well, I don't know what to do and you don't know what to do. What a mess!' says the boss.

(I'm not OK, you're not OK)

Characteristics of the Life Positions

I'M OK, YOU'RE OK (I + U+)

This is sometimes referred to as the *get on with* position. People occupying this position are optimistic, confident and happy about work and life. They use time constructively, doing the things they most want to. They exchange strokes freely with those they meet, accepting the significance of other people, and decline to put themselves or others down. They are assertive in reaching their aims, ie., they state and elaborate their own views and needs rather than attack other people's views and needs. Their dominant working style with others is collaboration and mutual respect, sharing authority and responsibility and listening constructively, even if they disagree. The problems they encounter in work and life are faced and dealt with as constructively as possible. They are likely to 'succeed' in life within the limits they've set themselves, finding satisfaction with work and relationships, and tend to live long, healthy lives.

I'M OK, YOU'RE NOT OK (I+ U-)

This is sometimes referred to as the *get rid of* position. It is characterised by feelings of anger, fury and hostility. Others are seen as inferior, unworthy, incompetent, wrong and not to be trusted. Behaviour to others is characterised by such things as spite, victimisation, trapping, condescension, abuse and disregard.

They may devote much time to the destruction of the sense of self-worth of others. As well as putting others down, they over-inflate their own self-worth, deny personal problems and find it difficult to give positive strokes. At work they are highly competitive and climb over others at whatever cost to achieve power and status. In wider social terms this is the life position of those who exploit their fellow man, or of those who take dogmatic views, believing theirs to be the only right course. In extreme cases they are homicidal (you are so "not OK", there's no point to your living')

I'M NOT OK, YOU'RE OK (I- U+)

This is referred to as the *get away from* position and is typified by feelings such as sadness, inadequacy, stupidity or a sense of being ugly. In this position, people experience themselves as inferior or powerless in relation to others. They put themselves down and find it difficult to accept positive strokes, even being suspicious of them. In relation to work, they undervalue their potential and skills and they avoid or withdraw from difficult situations and problems. In life generally, they don't succeed, are unhappy, often ill and/or depressed and in extreme cases commit suicide (I'm so useless I may as well not live')

I'M NOT OK, YOU'RE NOT OK (I- U-)

This is also referred to as the get *nowhere position* and is accompanied by feelings of confusion or aimlessness and pointlessness. Their attitude is 'Why bother, what's the point?' and they frequently waste time. They do nothing very much in life, and in extreme cases become alcoholics or drug addicts, or go crazy, possibly committing murder or suicide.

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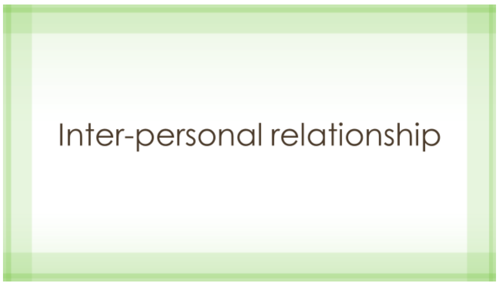
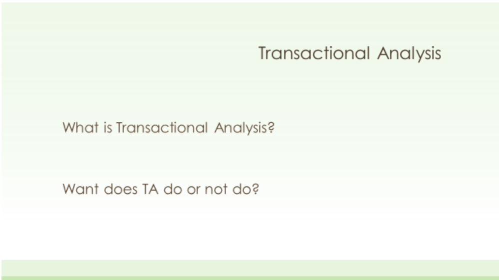
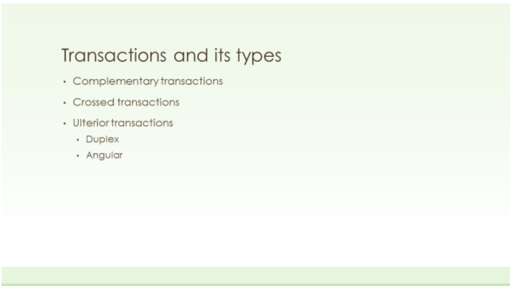
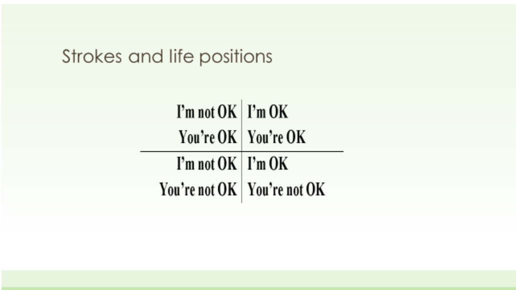
SLIDES

Slides have been prepared based on the above material.









EMPATHY

What Is Empathy?

Basic Definition

Empathy is feeling and understanding how it is for another person.

As E.M. Forster said, "Live not in separation." It is empathy that joins us together with each other.

Without empathy, we would be like ants or fish or lizards, aware of each other as bodies in space, but with no sense at all of the inner lives of each other.

Empathy Is More than Compassion and Kindness

Compassion and kindness are wonderful, but alone, they are not enough.

It's easy to be compassionate and kind in a sort of generic way without really knowing what it is like to be another person.

It is empathy that *personalizes* compassion and kindness, and gives them real traction.

Empathy takes courage – the courage to cast loose from the familiar moorings of yourself and your known positions to enter the deep waters of the other person, to be truly moved inside, truly affected in your own core.

Further, if one cares about diversity in all its forms – in temperament and values as well as in ethnicity, gender, class, and so on – empathy is at the heart of real diversity work.

What Do We Empathize with?

There is both horizontal and a vertical dimension to what we find in the other person.

Horizontally, we empathize with the full range of the other person's experience: the sensations, emotions, thoughts, and desires, and the joys and the sorrows. Unlike sympathy, empathy is not just for the painful side of life.

Vertically, we empathize with the surface layers of the other person's mind/psyche/self, and the deeper ones. Sort of like a parfait, with present-day, adult material on top, and younger material underneath . . . with harsher, more armoured feelings like anger on top, and softer feelings beneath . . . with problematic strategies on top, and universal and wholesome deep needs underneath.

You might ask yourself: To what extent do you feel your deeper layers are known to the important people in your life? And: To what extent do you extend yourself to reach down inside those people to find out what's there?

Two Parts of Empathy

There are two aspects to empathy.

When you are empathic, there is both a felt, bodily resonance with the state of the other person – sort of like tuning forks vibrating in harmony with each other – and a more conceptual understanding of what they could be experiencing, and why.

We sense and we infer what is happening with the other person.

These two aspects of empathy – visceral attunement and conceptual understanding – work together: The sense in your gut gives you clues about the state of the other person, and your thoughts about that person tell you where to look in your gut.

Empathy Requires Individuality

Empathy certainly has a joining quality, but it is not itself agreement or approval; for example, you can empathize with someone you wish would act very differently.

Empathy does not mean waiving your own rights or interests; knowing this can free us to be more empathic. By feeling strong in ourselves, like a mighty oak tree with deep roots, we can let the other person's experience flow through our awareness like wind through our leaves, knowing that we can let it in and still remain standing, intact and whole.

Expressing Empathy

Usually, but not necessarily, this awareness of how it is for the other person is communicated in some way, often nonverbally and tacitly: for example, through subtle facial expressions or postures that mirror the other person's.

This expression of empathy gives the other person the sense of "feeling felt," which is profoundly important to people from infancy onward. The most horrible part of many horror movies – such as *Invasion of the Body Snatchers,* or the many zombie flicks – is imagining yourself among human-like creatures who are incapable of feeling you.

Often, the expression of empathy is all the interaction needs. It conveys the vital signal in any communication: "Message received." That alone often calms the other person, and helps them feel better.

And if there is still a topic on the table, even something that is upsetting, then you can get on with the business at hand in a clearer field.

How Did Empathy Evolve?

Empathy is unusual in the animal kingdom and the brain capacities that enable it, which are discussed just below, are costly to maintain: they consume a lot of oxygen and glucose – 8 to 10 times as much as your major muscles do.

So empathy must have had some major survival benefits for it to have evolved. What might those benefits have been?

Empathy seems to have evolved in two major steps.

First, among vertebrates, birds and mammals developed pair bonding in some of their species, so that two individuals mated and raised young together. This is very different from the pattern among most fish and reptile species, who go it alone. Pair bonding increased the survival of young and was consequently selected for, but maintaining those bonds required new mental capacities.

Therefore, as the neuroscientists put it, the "computational requirements" of being a couple – a sparrow couple, a squirrel couple, a mountain lion couple, that is – drove the enlargement of the brain over millions of years. As we all know, when you are in a relationship with someone – and especially if you are raising a family together – there's a lot you have to take into account, negotiate, arrange, anticipate, etc. No wonder brains got bigger.

It may be a source of satisfaction to some that polygamous species usually have the smallest brains . . .

Second, building on this initial jump in brain size, among primate species, the larger the social group, the bigger the brain. (And the key word here is social, since group size alone doesn't create a big brain; if it did, cattle would be geniuses.)

In other words, the "computational requirements" of dealing with lots of individuals – the alliances, the adversaries, all the politics! – in a baboon or ape troupe pushed the evolution of the brain.

In sum: More than learning how to use tools, more than being successful at violence, more than adapting to moving out of the forest into the grasslands of Africa, it was the complexities of relationships that drove human evolution!

Homo sapiens means clever ape. We are clever to be sure, but we are clever in order to relate. It would be perhaps more accurate to call our species *Homo sociabilis*, the sociable ape.

As the great evolutionist, Charles Darwin, said: "All sentient beings developed through natural selection in such a way that pleasant sensations serve as their guide, and especially the pleasure derived from sociability and from loving our families."

Sociability, and the empathy at the heart of it, drove evolution – in a fundamental sense, it is empathy that has enabled us to sit in this room tonight, understanding the complexities of language, in a building full of advanced technologies.

Empathy is in our bones. For example, infants will cry at the tape-recorded sound of other infants crying but not at a recording of their own cries. And speaking of crying, as adults, our tear glands will automatically start producing tears when we hear the crying of others, even if we have no sense of tearing up ourselves.

Perhaps an even better name for ourselves would be *Homo empathicus*.

What's Happening in Your Brain When You Are Empathic?

Introduction

The mental experience of empathy is enabled by underlying, material neurological processes.

By learning about the circuits in your brain that create empathy, you can use your mind to activate those circuits and thus become more empathic. In short, you use your mind to change your brain to benefit your whole being.

So, with no background in brain science needed, let's see what's happening inside your head when you are being empathic.

Sensing

To simplify, sensing how it is for another is enabled by several neurological systems:

• The front part of the **insula**, on the inside of each hemisphere of the brain – so, there are two of them, or insulae – lights up both when we feel the emotional components of pain ourselves (such as distress, fear, anguish) and when we see another person in pain. Interestingly, the more important that person is to us and the more we care about them, the more our insulae activate when we know that person is in pain.

• The same thing happens with another important part of your brain, called the anterior (frontal) **cingulate cortex (ACC)**. It rests on top of the insula, more or less, within each hemisphere of your brain. And it, too, is sensitive to how much we care about the other person.

The more empathic that people are, the more that the insula and ACC light up in response to the pain of others.

Further, the insula and ACC also activate both when we are experiencing strong emotions ourselves and when we witness emotions in others.

As a side point, the ACC and insula seem to be centrally involved in the conscious experience of states of the body and emotions. If you can imagine consciousness as a kind of light – pick your color – then it is playing and flickering about the ACC and insula . . . as well as a few other key regions of the brain as well.

• There is also a class of neurons you may have heard a lot about, called **mirror neurons.** They activate both when we do an action and when we see other people doing that action.

In sum, the insula, ACC, and mirror neurons produce *simulations* of the experience of others inside your own brain. These occur automatically as a hard-wired by evolution reaction – though there is much the mind can do to suppress or strengthen them.

In other words, when you see – or even just imagine – other people suffering, feeling, and doing, your brain automatically generates a virtual experience within yourself of something close to what the other person is experiencing.

The phrase, "I feel your pain," has become a bit of a joke, but it is literally true.

And, remarkably, the converse is also true: If we cannot feel ourselves, such as when emotion centers of our brain are damaged by a stroke, then we are impaired in our ability to recognize the emotions of others.

Thinking

These visceral simulations of the inner world of other people are augmented by more thought-based inferences about what the other person values, believes, and plans.

In developmental psychology, these capacities are collectively labeled "theory of mind."

They are supported by one area of the brain, in particular: The **prefrontal cortex**

(PFC) is the part of the brain tucked back behind the forehead, down around the level of the eyebrows, and it is close to the ACC and the insula, as well as to other structures in the central emotional switchboard of the brain, which is called the limbic system.

This region of the brain activates both when we are attending to our own mental states and when we are thinking about those of others.

Developmental Trajectory

By the way, these brain regions developed at different points in our evolutionary history. First came the primal capacities to sense the feelings and the pain and the actions of others, located in the limbic system structures resting on top of the brain stem. Second came the more intellectual abilities to infer mental states, supported by frontal lobe circuits that sit on top of the limbic system.

As a child develops, the first capacities to come on line are the ones that are more ancient, closer to the bottom floor, sort of, of the brain: the emotion-sensing systems that are already present, to a rudimentary degree in infants.

It is only by age 4 or so that the guts of the "theory of mind" circuits develop substantially – and they keep developing up to about age 25, when our full neurological capacities are in place to imagine the inner states of others.

And interestingly, it is also the most modern systems of the brain that are the first to go toward the end of the lifespan. For example, a person will usually retain her core abilities to "feel the pain" of others long after her more abstract abilities to conceptualize the mental states of others fade slowly to black with dementia.

How Can I Activate Those Brain States?

Introduction

By activating these three regions of your brain – the insula, ACC, and prefrontal cortex – you strengthen them, since as the saying has it: "Neurons that fire together, *wire* together."

In other words, by repeatedly creating wholesome experiences for ourselves, we build wholesome structures within our own brains. This is incredibly exciting, good news.

Let's go through these regions in order to build, over the long-term, deep inclinations and capacities for empathy. Then we'll briefly cover some practices you can do right now to foster greater empathy.

Insula

The insula is the key organ in your brain involved in what is called interoception, the sensing of the internal state of your body. When you have a gut feeling, or get sensations in your joints, or feel your lungs expand and contract, your insula lights up. (It also activates with disgust, a very important and primal emotion if our ancestors were to survive foods that were rotten or poisonous.)

This means that sensing your own inner physical sensations develops your insula over time. In turn, a more developed insula enables you to be more empathic. In fact, studies have shown that the more that an individual is aware of his own body, usually the more empathic he is toward others.

What is one of the premier ways to practice awareness of the internal sensations of your body?

Yes – meditation.

In fact, researchers have found that regular meditation actually thickens the insula, indicating millions of additional connections among the neurons there.

Anterior Cingulate Cortex (ACC)

The ACC is particularly involved in the control of attention. When you deliberately train your attention to stay focused on one object, the ACC is strengthened. Which makes you more able to attend to the inner states of others.

So, what activities involve the training of attention to steady the mind and become increasingly absorbed in just one focus?

Any activity requiring concentration can do this, but there are obvious advantages to activities that pay close attention to . . . attention. Again, the epitome of that is meditation.

Prefrontal Cortex (PFC)

The PFC is activated by many activities. But one in particular stands out: observing, investigating, and reflecting on one's own inner mental state. Introspection does this, and so does therapy, and so does . . . you guessed it: meditation.

In fact, as with the insula, regular meditation makes the PFC measurably thicker.

Summary of Long-Term Cultivation

In sum, if you were to pick just one thing you could do to improve your neurological capacities over time for the vital matter of empathy, your best bet would probably be regular meditation.

Immediate Practices

And while you are growing new circuits inside your head, here are some things you can do today that will also foster empathy:

• Pay attention. How often do we sustain even a few minutes of attention to another person? And others can sense it quickly if your attention wanders . . .

• Try to get a sense of the being behind the eyes of the other person.

• Imagine the other person as a child. This is especially useful for people who are irritating or threatening.

• Find an interest in yourself for the other person.

• Ask questions. What was that like? How did you feel? What did you wish had happened? Etc.

• Look beneath the surface. What does the other person most deeply want?

Conclusion

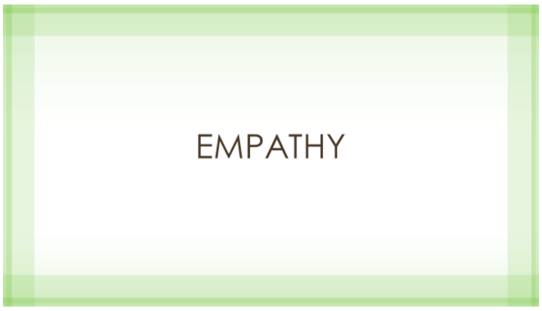
More than anything else, empathy is the glue that joins us all together. By extending the circle of your empathy beyond "us" to include "them," the whole world becomes your home.

Thank you very much for your attention – and your empathy!

Reference:

Empathy: Rick Hanson, Ph.D., 2007

SLIDES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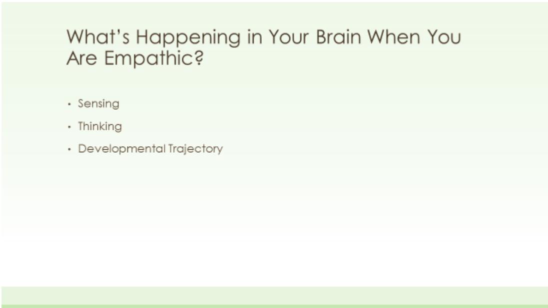
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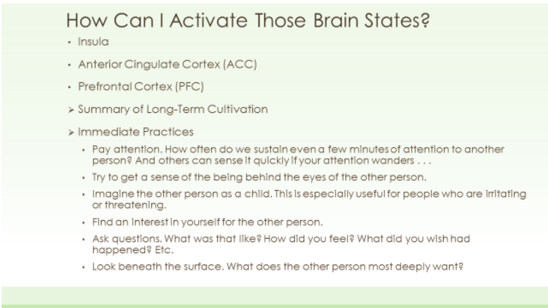
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• Look beneath the surface. What does the other person most deeply want?

CASE STUDY: EMPATHY

Introduction -- Empathy Defined

Most individuals think of empathy as having a sense of understanding and compassion for another person, sensing what it must be like to be them. As we work to develop a measure of empathy in our EQ assessment tool, we have identified three key aspects of empathy.

These include 1) Empathic accuracy: being able to sense what the other person is experiencing from their internal experience, 2) Empathic compassion: being able to be open to another's experience with compassion and tolerance, and 3) Empathic interactions: the process of interacting in an empathic manner.

Empathic acknowledgment is the core process and precise skill of empathic interactions.

While the concept of empathy is embraced, the specific skills required are not widely known and certainly not widely practiced. Dr. Bookbinder states less than 2% of interactions include acknowledgement of the other, the foundation for all empathic interactions.

This article highlights the critical elements of empathic acknowledgement and the precise skills required for effective, powerful empathic interactions.

Empathic Acknowledging

Empathic acknowledging combines listening, empathizing, and acknowledging what the other person said and his or her experience. It typically improves relationships and often deepens emotional intimacy. It leads to feeling like you have received a "psychological al hug". Why?

The following encounter illustrates empathic acknowledgement. NOTES are interjected to highlight the concept.

Illustration: The Astonished Man (Dr. Bookbinder experience)

I was walking to the exit of a four-story parking building next to a five-story medical clinic. The day was Friday, the time was 2:25 pm, and the building was crammed with cars. A man, who appeared about 75-years-old, walked in. As he neared me, he stopped, turned towards me and said: "Are they giving something away today? I've never seen it so crowded." He appeared unable to believe that the building was filled to capacity. "I'll bet it's because many people don't work on Fridays, so it's convenient for them to schedule their appointments on Fridays," I said.

(NOTE: My response did not acknowledge either his perception of the building as crowded or his astonishment that it was crowded. I had given him an explanation, not an acknowledgement.)

"It's not because it's Friday. I usually come here on Fridays and it's never been this crowded," he said. "It is very crowded today, and I don't know why," I said.

(NOTE: I had now acknowledged his perception that the building was crowded! He probably would have been more satisfied if I had also acknowledged his feeling.)

Discussion

In the situation above he listened to the astonished man and empathized with his perception that the garage was full. He acknowledged the man by spending time listening to the astonished man's" statement and acknowledging his statement by stating his understanding of it.

Key elements to Empathic acknowledgements:

- Listening to what the other is saying
- Acknowledging what was said, including stating your understanding of what was said and the feelings associated with what was said

The Psychological Hug

One important benefit of empathic acknowledging is the psychological hug. The psychological hug is similar to a physical hug in that it expresses affection by a special type of touch. This affection and touch is illustrated by the interaction between friends below. Empathic acknowledging can be effective between any two people when one of them is talking about something that is important to him or her.

An Illustration: The Upset Friend

Tanya and Anita, who are in their twenties, meet for lunch one Friday after not having talked with each other for two months. Tanya (talker) began in delight. "I saw Ben yesterday. You remember Ben? I told you about him last time." Anita acknowledged, "Sure. You met him a month before our last lunch and found him attractive." "That's right," Tanya says, eyes sparkling. "Since then I've learned that he's good for me. We've been seeing a lot of each other lately and getting close. I'm excited!" As Tanya begins to pour out the details of her recent experiences with Ben, Anita says to herself, I was going to tell her about my super vacation plans but this relationship sounds really important to her. I'll wait and listen to her news first.

(NOTE: Anita suppresses the impulse to talk)

Five minutes later, Tanya concludes with her announcement. "Last Tuesday he told me he loved me", followed by her exclamation, "I couldn't believe it!" After listening for the entire time without saying a word, Anita says, "Wow!"

(NOTE: Anita acknowledges Tanya's feeling of being overwhelmed)

"I still can't believe it," Tanya says. "I didn't know what to say. I still don't know what to tell him." "I don't understand," Anita says. "Did he expect you to say how you felt about him?"

(Note: Anita clarifies what is being said)

Tanya responds "I didn't think so but I wanted to say something and yet I didn't want to. I'm confused." Her face changes from pink to pale and she stops talking. "It's hard for you to talk about this." "I didn't think it would be so hard but I do want to tell you," Tanya says. "I, uh, I feel strongly about Ben." She struggles to speak but again stops, and her face turns paler. After waiting ten seconds, Anita says "And what else?" She then resumes being quiet and waits for Tanya to regain her ability to speak.

(Note: Anita waits & encourages Tanya to continue)

Sixty more seconds pass and then Tanya's jaw tightens as she says, "I want to tell you how I really feel about him. He's a wonderful man and I'm, uh, I'm very fond of him." She pauses. "I'm more than fond of him. I, uh, I, uh, I love him. There, I finally said it. Whew!"

As she listens to Tanya open up emotionally, Anita develops a lump in her throat and a warm feeling in her chest. She gulps, pauses to collect her thoughts, and softly says, "It's hard for you to talk about your love for Ben."

(Note: Anita acknowledges what is being said & the feelings)

"Definitely," Tanya says. "After Tuesday, I decided that the next time I saw him I would tell him how I felt about him. Well, the next time came and I still couldn't tell him. There must be something seriously wrong with me." Anita..."You're saying that no matter how hard you try, you can't tell him you love him, and you feel awful about yourself because you can't."

(Note: Acknowledgement of what is being said and feelings)

"Right!" Tanya says. "I've been keeping it to myself and becoming terribly upset about it. I'm glad I told you because you didn't criticize me for not speaking up. Your understanding touches me." Her face relaxes and begins to regain its color. With affection in her eyes and gentleness in her voice, Tanya says, "I feel better. Thanks for letting me talk." "Glad to do it", Anita says. Her face brightens as she says "Now I want to tell you about a two-week vacation in Cape Cod I'm planning, which I can't wait to begin." Then she leans forward and delightedly describes her plans to Tanya, who, because of no longer being upset, is able to listen attentively.

Discussion & Conclusion:

- Key elements of empathic acknowledgment illustrated above. Anita...
- Does not interrupt
- Does not give advice
- Does not change the subject to talk about her own plans
- Does not voice disapproval of the other
- Tunes into the other's communications (what is being said & her feelings)
- States her understanding of what is being said and felt

The impact Anita's (Listener) empathic acknowledgement had on Tanya (talker)

- Appreciation for being listened to
- Experience as receiving a gift of time and attention without criticism or advice
- Increased trust of myself (the talker) and increased trust in the other and the relationship
- The feeling of receiving affection, a psychological hug that touches the heart
- Reduced Tanya's distress
- Helped Tanya (talker) to get in touch with her thoughts, wants, and feelings
- Strengthened the relationship

Benefits to the Talker

Experiencing a psychological hug is one of several possible benefits for the talker. Other benefits include

- Re-experiencing joy and one's own personal power and choice
- Making sense of a puzzling situation
- Becoming aware of unconscious feelings
- Experiencing relief from distress
- Ending a conflict about a decision
- Gaining needed clarity to make a decision about next steps or actions to take
- Feeling of less alone

Obtaining relief from health problems such as asthma, insomnia, headaches, back pain

An Illustration: Ending a conflict about a decision.

After being absent from work for a week from the flu, I informed my wife, Louise, in the evening, that I was feeling well enough to return the next day. The evening progressed into morning but my recovery regressed. My malaise was worsened by my becoming upset about not feeling well enough to work. "I'm frustrated," I complained to Louise. "I've been out too long but can't decide whether or not to go back to work tomorrow."

"Stay home another day," she said. "Make sure you're well before you go back or you'll soon get sick again." Her unsolicited advice irritated me, which she noticed and which prompted her to respond by acknowledging my experience: "I know you're disappointed that you still don't feel well enough to go back to work." I immediately responded to her acknowledgment by no longer feeling irritated and ending my conflict between wanting to return to work but not feeling well enough. I then had no trouble deciding to stay home another day.

An Illustration: Feeling less alone with a problem.

During Alcoholics Anonymous meetings, alcoholics talk more freely about their drinking problem than they would with most people. During meetings of a support group for relatives of mentally ill persons, the members talk more freely about their struggles to help their ill loved ones. I believe that a major reason support groups are popular is that members feel less alone with their problem because of the opportunities to talk about it with people who listen with empathy.

Benefits for the Acknowledger

We tend to focus on the benefit to the talker rather than the "acknowledger", yet both gain real and powerful benefits. The process itself is one of mutuality where both individuals are enriched.

Possible benefits for the "acknowledger include:

- Absorbing some of the joy, clarity, peace or other benefits the talker experiences
- Feeling good about giving another an opportunity to talk about something that matters to him or her
- Reducing conflict or avoiding a quarrel with another by careful listening & mutual inquiry
- Broadening your horizons and expanding your world by listening to another whose values and views are radically different from your own
- Feeling psychologically hugged by the talker

Illustration: Feeling hugged by the talker.

(Using the Tanya & Anita discussion above)

Tanya feels affectionately touched by Anita's empathy, listening skills, and acknowledging. She feels valued by Anita and affection for her. These feelings embolden Tanya to speak from her heart to Anita. Tanya's openness and her speaking words from the heart create a feeling of affection and connectedness within Anita. She feels valued by Tanya. The conclusion is Tanya's response to Anita's empathic acknowledging stimulates a similar set of feelings in Anita.

Each feels hugged by the other and each one's heart that is open to the other, and they experience a precious moment of heart-to-heart connection.

Controlling the Urge to Help

Effective empathy requires a skill more fundamental than the ones presented above. This skill is the need to control your urge to help and of being present with the other person in the conversation. Most of us rarely think of empathic acknowledging as a way of being present with the person talking. Instead we usually respond to an upset person by giving advice, words of encouragement or words of comfort -- three common ways of trying to help. While these are well-intentioned responses, they interfere with the other person's talking because these verbalizations stem from our thinking about how to help rather than thinking about what the talker's words mean to him or her.

Being present involves thinking about what the talker's words mean to her, not what they mean to you. The challenge and the power is to be fully present with another person. Allow, encourage, and make the space for them to gain self-awareness and access their own truth and reveal themselves in ways that are most useful for them.

If you want to help when, for example, conversing with an upset person, you may find it useful to keep in mind the following thought:

Illustration: Helping versus Not Helping

When Tanya condemns herself for being unable to tell Ben she loves him, Anita responds by acknowledging Tanya's problem: "You're saying that no matter how hard you try, you can't get yourself to tell him you love him, and you feel awful that you can't."

(NOTE: She does not try to help by advising: ("Maybe it would be easier to tell him in writing) She does not try to help by comforting ("There's anything wrong with not being able to tell him you love him. You're just shy about these things.") She does not try to help by encouraging ("Hang in there, Tanya. I'll bet in a month or two you'll be able to tell him."))

Controlling the Urge to Talk

Research on conversations has found that the person not talking usually starts talking about nine-tenths of a second after the other person stops. Combining this statistic with the one that only two percent of us know about the activity of acknowledging the talker's communication leads me to the following conclusion:

Developing the ability to wait, listen, and encourage the other to talk without interrupting is a critical skill. It can be developed by intentional awareness and with practice. Several practice exercises are provided below. These exercises can help increase your awareness of the option to listen. Being more aware of opportunities to switch from talking to listening expands your consciousness and choice. They will help increase your flexibility and ease in using empathy effectively. The exercises are easy and can be practiced anywhere.

Exercise 1: Practice with a partner

Find a partner. Set a timer for 90 seconds and have your partner talk about any subject. You listen without interrupting. When the timer beeps, she stops talking and you summarize her words and any feelings expressed. When finished discuss the experience. What was it like for you? What was it like for your partner? Reverse roles and repeat the exercise.

You may be surprised to find yourself struggling to wait for the beep before you talk. This discovery could strengthen your motivation to control the urge to talk. Also, your agreement to summarize what you heard will most likely cause you to pay more attention to the other person's words and overall expression.

Exercise 2: Exercise in self-awareness and choice

The next time you are listening and find yourself ready to talk about your interests, but the talker has not paused, continue listening. If the other has paused, wait two or three seconds.

If she/he resumes talking, continue listening. If she does not resume, talk.

The reason for waiting is that the talker might be pausing to organize her thoughts before continuing to talk.

Exercise 3: Practice listening & summarizing

When the talker pauses for more than two or three seconds and you are ready to talk about your interests, summarize instead. If he or she resumes talking, continue listening. If she or he does not resume, talk.

The talker may feel encouraged to continue talking after knowing you understood her words. Or she may pause because she is not sure you want to hear more but is reluctant to ask. However, when you summarize her words instead of talk about your interests, she may conclude you want to hear more.

Summarizing is, of course, acknowledging the talker's words, not his feelings. For this exercise summarizing what was said is sufficient. It makes the exercise easy to do and has value. Letting the talker know you heard and understand his or her feelings is a plus if it is apparent and easy to do.

Pace of Practice:

Do the exercises at a pace comfortable for you. For example, practice exercise #2 two to five minutes a day for a week. Then increase your time to six to ten minutes a day for the next week or two. Gradually do this exercise more often--to the limits of your tolerance for temporarily not thinking or talking about your interests.

Basic Skills

The following is a review of the basic skills discussed above.

These basic skills include:

- Listening without interruption
- Listening with your head and your heart
- Focusing on what the other person is saying and the meaning it has to them
- Asking for clarification when needed
- Tolerating the other person’s attitude -- without disapproving
- Holding an attitude of openness to the others experience and position
- Withholding the desire to help or interrupt
- Being fully present with the other person
- Encouraging the other to continue until they are finished
- Acknowledging the other persons words and feelings--what you understand

Be open to correction or additions by the other so you "get it"

Illustration: Bigoted Father

Al (the acknowledger) is a white civil rights activist who has fought racial discrimination in housing and jobs. He has often heard his white neighbour Tom (Talker) voice contempt for entire groups of people, such as African-Americans, Jews and Hispanics. Al resents Tom's bigotry.

One Sunday afternoon, as Al is washing his Ford Escort in his driveway, Tom runs out of his house and across the street to Al. He huffs and grins as he says: "Pamela just called to tell me that Dave committed himself to her!" Al requests clarification: "Committed himself?" "Yes, he proposed over brunch at Denny's," Tom replies. "They're getting married in two months." When Tom's daughter called, his wife and 16-year-old son were at the town's shopping mall. There was no one at home with whom to share his joy. His inner world at the moment is his joy about his daughter's engagement and interest in expressing his joy. Al perceives the obvious--that Tom wants to tell him more about the good news. However, he is upset that Tom wants him to listen. Al says to himself: *Why should I care about hearing his good news? He doesn't care about a lot of people. He's a damn bigot!*

Al wants to say that he does not have time to listen because he has too many chores that afternoon. However, he chooses to tolerate being upset a bit longer in order to decide whether to tell Tom he is too busy. Al thinks: *I resent his bigotry but not the rest of him. This is truly an important day in his life*. This new thought leads Al to change from disapproving to openness towards Tom, now viewing him as a caring father. He then decides to give Tom more time and is able to pay attention to Tom's verbal and nonverbal communications--words, voice tone and facial expression--because thinking of him as a bigot and resenting his bigotry no longer distracts him. He is listening with both his head and heart.

Although Tom does not say he is excited, his body language--broad smile and animated voice--communicates it. Al acknowledges Tom's words and feelings. "You're excited about Pamela's good news." "I'm excited and also relieved," Tom responds. "Pamela envies her two sisters because they're happy with their husbands and children. She's 34 and the oldest, you know, and was distressed about not finding a man with whom to share her life and have children. It upset me that she felt unfulfilled." Al, sensing that Tom is bursting with things to tell, encourages him to continue by saying "Go on."

Uniqueness of Empathic Acknowledging Concepts & Skills

- ***The emphasis is on comprehending the meaning of what the person is saying to you rather than remembering the information or content of what is being said*.**

For example, in the Bigoted Man illustration, Al remembering that Pamela took a giant step towards her deep-seated goal of marriage and motherhood is less important than Al comprehending what Pamela's taking this step means to Tom.

- ***Listening also emphasizes tuning into and having a mini-experience of the feelings communicated by the talker.***

For example, Al senses Tom's excitement about Pamela's engagement. The empathic acknowledger focuses on "tuning in" to the talker's inner world.

- ***Approving of or Openness to the Talker***

This is the most important empathic acknowledging activity. Presence and listening with empathic acknowledgement cannot occur without an honouring of the other person’s experience and allowing what may be dramatic differences from our values.

To illustrate; Al responded to Tom's interest in talking about Pamela's engagement by thinking: *Why should I care about hearing his good news? He doesn't care about a lot of people. He's a damn bigot!* Al wanted to say that he did not have time to listen because he had too many chores to do that afternoon. However, he re-evaluated and concluded: *I resent his bigotry but not the rest of him. This is truly an important day in his life*. This conclusion led Al to change from disapproving of Tom -- a change from viewing him as a bigot to viewing him as a caring father. He then decided to listen to Tom. If Al had continued to view Tom only as a bigot, he would not have listened to him. Even if he had decided to listen, he would have done it poorly because of being distracted by thinking about Tom's bigotry and resenting his bigotry.

- ***Acknowledgement includes summarizing the words spoken and labelling the feelings transmitted.***
- ***The acknowledgment emerges from focusing on the talker's inner world not the listener’s***

- ***The focus is on what the communication means to the talker, not to the acknowledger***
- ***Acknowledgement avoids adding anything to the talker's communication***

To illustrate, we will use one of Al's acknowledgements, which was: "You're no longer worried about Pamela now that she'll be achieving a goal she believes is essential." If he had psychologized about Tom's message, he might have either added to this acknowledgment or substituted for it the following: "You're pleased about her engagement validating your good job of raising her." Tom did not say that he believed his parenting of Pamela was validated. Deep down he might have thought this but an acknowledgment deals only with the obvious. We need to keep in mind that Al is Tom's neighbour, not his psychotherapist.

Illustration of avoiding adding anything to the communication

A fragment of a conversation between two friends will elaborate on another empathic acknowledging skill. Ann (Acknowledger) is appreciating Teresa's (Talker's) enjoyment of talking about skydiving even though Ann would be terrified to skydive. "Yesterday I did my best jump," Teresa declares with a joyous voice and sparkling eyes. "I knew exactly when to open my chute. I had the most control ever." "You're delighted with how you handled the chute," Ann responds. "Yes, but it's more than that," Teresa says. "This jump was also the most thrilling for me. I was less nervous so I could get more into the experience of free fall. After a jump, I feel great for at least a week no matter what problems in my life come up...." And Teresa continues to tell Ann about her skydiving hobby. She enjoys describing an activity she values and experiences as thrilling. As she talks, an electric feeling courses through her body.

(NOTE: Ann did not interject to inquire or advise about the danger of skydiving. Although she is fearful and thought of the danger, she did not add it to the conversation. Her adding this would have been a distraction and have taken the talker away from exploring and reporting her own experience.)

Empathic Acknowledgement Requires Time & Energy

While acknowledging can enrich conversations, unfortunately few of us do it. For every 100 people, only 2 know of it and its value.

Empathic acknowledgement means an investment in learning and doing. Reading books and articles is not enough. You have to use the skills in conversations again and again as a way of living. Practicing takes time and can feel awkward, particularly if you find it difficult to control your urge to talk and to help. Controlling the urges to advise, comfort, encourage, etc. may drain your energy. Controlling the urge to talk about your interests and concerns may also drain your energy. One reason for the possible energy drain is that more energy is required to change an ingrained habit.

Learning Obstacles Some of us may find it extraordinarily difficult to use more empathy, listening skills, and acknowledgments, especially those who are constant talkers or constant helpers.

Illustration: Constant Talker:

I am eating dinner in a restaurant. In the next booth are two couples in their fifties. One of the men, whom I will call Conrad, is talking 95 percent of the time in a voice, which I can hear but people 20 feet away cannot. The other man and the two women nod or utter one-sentence comments. I am annoyed by Conrad's constant talking invading my privacy and I think: *That man is a constant talker and never would have married his wife if she were one too. He never would have become friendly with the other couple if either of them* *was a constant talker. He was attracted to these three people because they cheerfully listened to him and rarely interrupted. He does not realize that he has a strong need to be listened to that propels him towards people who will listen to him. This need is at the core of his psychological being. If a more aggressive talker wins the competition with him for grabbing the openings to talk, Conrad will become upset, and will not know why. In order to do empathic acknowledging, Conrad would have to turn his psychological being inside out. He may not be able to do this.*

Illustration: Constant Helper:

Nancy is a mid-level manager in IBM whose supervisors view her work as outstanding. Her workday is crammed with activities such as deciding which of eight applicants to hire as the unit's senior secretary, and advising its chief programmer on supervising an errant programmer. Although her job requires working at a fast pace, she loves it. Whenever I would talk to her about my concerns or problems, she would interrupt within three or four minutes to give me advice for which I did not ask. Even when I asked her simply to listen, she never would. Nancy is a high-powered problem solver who cannot turn off her advice-giving machine at the end of her workday. As she listens to me, she cannot stop thinking about how to help me, which distracts her from listening to and understanding my issues.

At home, her parents expected her to help them raise her younger brother and sister. Her functioning as a junior parent began soon after her brother was born when she was eight years old. Two years later, her sister's birth added a second responsibility. Much of Nancy's sense of self and self-esteem was derived from people's appreciation of her fix-it and care giving activities. She would have to turn herself inside out in order to be able to listen without thinking of how to help.

When to Acknowledge

Empathic acknowledgement takes presence and time. It is not needed and inappropriate in much of our day-to-day conversations. I am not advocating empathic acknowledgment zealotry. At the same time it is essential and can have a profound impact when used appropriately. There are some easy guidelines for becoming aware of appropriate times to use this skill.

Use When...

- **You sense the topic is important to the other person**
- **The other person is experiencing emotion**
- **The other person is speaking from his or her heart**

It is important to keep in mind that all three do not always occur during a conversation; for example, a person may be talking about something that is of high value to her without becoming emotional. As you practice you will develop a feel for when empathic acknowledgement would be useful. And you will become in more tuned to nuance of expression and of the other’s feelings.

With increased us of use of empathy, listening skills, and acknowledging you can expect a positive and powerful impact on your relationships. Most likely your current relationships will be strengthened and enriched. And you will develop meaningful and prosperous new relationships. This includes business relationships with your co-workers, direct reports, and your boss and your personal relationships among your family and friends.

Empathic acknowledgement is easy to understand and often hard to do, especially when we are tired, preoccupied, and/or have negative judgments about the other person. When your practice seems less than satisfactory notice the degree you are being fully present, listening without interruption, refraining from giving advice or help, and tuning into the other person's experience.

Reference

Empathy, Listening Skills & Relationships By: Lawrence J. Bookbinder, PhD

Introduction, editing & additions by: Jan Johnson MA

PRINCIPLES GAME

AIMS

1. To show how principles emerge in competition.

2. To emphasise the merits of collaboration.

GROUP SIZE

Two teams required of not more than eight members each.

TIME REQUIRED

Approximately half an hour.

MATERIALS

Copies of Principles Game Tally Sheet for all participants.

PHYSICAL SETTING

Enough space for the two teams to meet separately without overhearing or disrupting each other.

A separate location where team representatives can meet in round 4, 9 and 10.

PROCESS

1. Divide the group into two sub-group - a "green" team and a "red" team. Seat the groups apart from each other and ask the teams not to interact with the other during the exercise except when instructed to do so.

2. Distribute a copy of the Principles Game Tally Sheet to each participant. Give members time to study the directions and scoring and ask if there are any questions.

Tell the two teams that the objective is for each group to score as many points as possible. Explain that no one will probably understand clearly how the game is played until the activity proceeds.

3. Round 1 begins. Each team is given five minutes to decide on a letter. When the time is up, each team passes its decision to the facilitator. The scoring is computed on the Principles Tally Sheet and the score passed back to each team member.

4. Rounds 2 and 3 are conducted in a similar manner to Round 1, but with three minutes for discussion in each round. The scoring for each round is entered on a Principles Tally Sheet and the scores passed back to each team member.

5. For Round 4, each team sends one representative to a neutral place to negotiate 'for three minutes. Then the representatives return to their teams. After three minutes, each team passes its decision to the facilitator. The outcome of the round is doubled and the score is computed and passed to each team member.

6. Rounds 5 to 8 proceed in the same manner as the first three rounds, with three minutes for discussion in each. The score is computed after each round and passed to each team member.

7. In Round 9, another special round is conducted like Round 4, the outcome is multiplied by 5. The score is passed to each team member.

8. Round 10 is conducted in the same way as Round 9, except the outcomes are multiplied by 10.

9. The entire' group meets to tally the final score and to discuss who won and why. The following questions should be considered:

How do you feel about the other members of your own team?

How could you have achieved a higher score?

What lessons are there for management?

What is required for successful negotiating?

PRINCIPLES GAME TALLY SHEET

DIRECTIONS

For ten rounds, the green team will choose either an 'A' or 'B and the red team will choose either an 'X' or a 'Y'. The score for each team is determined by both teams' joint decision. It is computed according to the following schedule:

Green team choice	**Red team choice**	**Result**	**Points**
A	X	Both teams win	3
A	Y	Green team loses	6
		Red team wins	6
B	X	Green team wins	6
		Red team loses	6
B	Y	Both team lose	3

Round	**Choice**		**Cumulative Points**	
	Green Team	***Red Team***	***Green Team***	***Red Team***
1				
2				
3				
4§				
5				
6				
7				
8				
9¥				
10£				

§ Results are doubled for this round.

¥ Results are multiplied by 5 for this round.

£ results are multiplied by 10 for this round.

DEVELOPMENT OF COLLABORATION

The Facilitator may help the participants gain perspicacity in the process of the development of collaboration amongst individuals and groups. The following dimensions are suggested in this regard.

Bases of Collaboration: Power and Trust

One important condition which contributes to the development of collaboration in a group is the perception of power. Power can be of both kinds: power to reward and power to punish. Reward and punishment are used in a wider sense. Punishment may be in the form of depriving the other person or group of the rewards which he or his group is likely to get. Everyone in the system has at least the negative power of depriving the other person of something that is desirable to him. In this game one group may decide to deprive other groups from winning together. Thus even one group' or one individual can use such a negative power. Negative power can be used by holding back information, or misleading the other person and so on. Even the person at the lowest level in the organisation can use his negative power by creating annoying situations, delaying matters, holding back information, giving information that creates misunderstanding etc. Every person in the system seems to have some kind of power, which should he not only, perceived very clearly, but also demonstrated. If in a situation people do not perceive the other person's power they are likely to use the power in a competitive framework. On the other hand, if a person involved is not demonstrating the power this can also lead to a continued exploitative activity (use of competition by the other party).

Unconditional cooperation does not lead to the development of collaboration. Unconditional cooperation by one party may communicate a lack of power. If this happens, the other party will find it more and more difficult to get into a collaborative relationship. For effective collaborative behaviour the perception of power of both is essential.

Many researches have shown that cooperation emerges after some competitive moves by the groups concerned, in this process the various parties or individuals involved in the situation demonstrate to one another the power they have, and their ability to use power. Researches have also shown that competitive move or some kind of stalemate in a relation- ship can result in collaboration, particularly in situations in which the parties concerned are competitive by nature.

In situations where parties are collaborative by nature, a stalemate of negotiation and relationship goes against collaboration.

Along with the perception of power, it is important that the parties concerned perceive that the power that the other party has will not be used against it. This is a part of trust. Some amount of mutual trust is likely to lead to cooperation. Trust indicates the high probability that the power of the concerned party or individual will not be used in a benevolent way.

A combination of perceived power and a minimum level of trust leads to cooperation. This is shown below.

Figure 1

POWER / TRUST	Only I	Only He	Neither	Both
No Trust	Coercion Exploitation	Compliance Submission	Indifference	Competition or Individualistic Task
High Trust	Nurturance	Dependence	Mutual sympathy	Cooperation

As shown above, collaboration results from a combination of perceived power of both minimum trust in one another. In a no-trust condition there may be coercion and exploitation if the other person is seen as weak, or submission or compliance if he is seen as having power; if the perception is that neither have power, there may be an indifference for one another; the perception that both have power may lead to either competition or individualistic behaviour. Under conditions of high trust perception of the partner having low power may lead to nurturance (paternalistic attitude); the perception that he has power may result in dependency: the perception that neither have power may generate mutual sympathy. It is only what both perceive, as well as it is clearly demonstrated that both have power, and there is enough trust in one another that collaboration emerges.

Figure 1 shows that collaboration results from three main factors: the perception that the goal is shareable by both (or all) concerned, the perception that both (or all) involved have power, and a minimum level of trust prevailing amongst those involved in the task. The absence of these may result in low (or an absence) of cooperation. We thus see that trust interacts both with power and the super-ordinate goal.

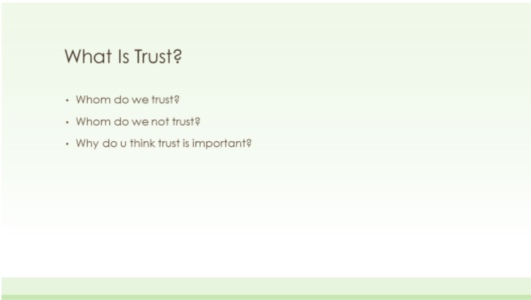
The Final Step in Building Collaborations

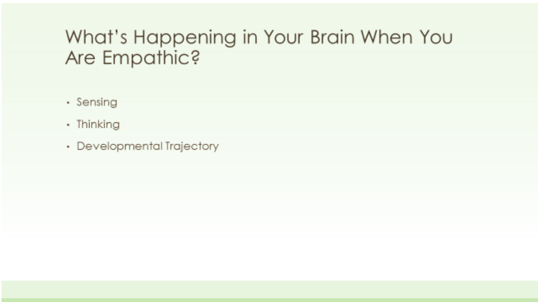
In the final analysis, cooperation results from the initiative taken by one person or one group to cooperate. This is a kind of risk-taking on the part of the individual or the groups. This is also making oneself vulnerable. This turns the win-lose strategy into a win-win strategy. A win-lose strategy can only be temporary as it changes into either a lose-lose or a win-win strategy. In a nonzero-sum game like this exercise, the individual or the group who makes the cooperative move runs the risk of losing a great deal and have a lower payoff. This risk, the initiative demonstrating the courage to lose initially for the benefit of all the parties concerned, taken by an individual or a group is the key to the development of cooperation. However, this has to be after the other parties concerned perceive the power this group or the individual has. This risk- taking is important in combination with trust and demonstration of one another's power. It is only after this has been achieved that both mutual trust and mutual power lead to the risk-taking tendency, but not the other way round. Only the risk move leads to cooperation, so that the team that takes the initiative, making itself vulnerable, is able to start the process of change towards collaboration. This inner strength of the team to be able to make such a move helps to build a collaborative relationship.

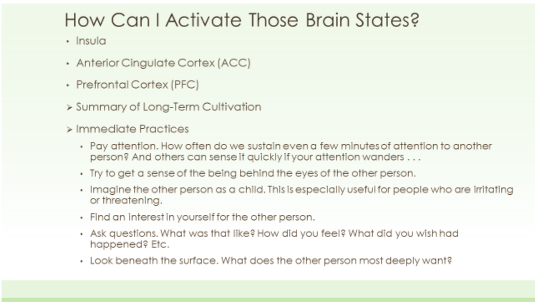
Reference:

Adapted from "PEOPLE AT WORK - A Practical Guide to Organisational Change" Dave Francis and Mike Woodcock (University Associates Inc., La Jolla, California, 1975)

SLIDES: TRUST







TRUST

Trust means:

"*I know that you will not deliberately or accidentally, consciously or unconsciously take unfair advantage of me.* It means: *I can put my situation at the moment, my status and self-esteem in this group, our relationship, my job, my career, even my life, in your hands with complete confidence*."

McGregor notes that trust is a delicate aspect of relations, influenced more by actions than by words. Trust can be destroyed quickly and easily one act can do it. Trust is a feeling influenced by needs, expectations, guilt, anxieties, and the like, and it is based on people's perceptions of others and their behaviour, not on objective reality.

Therefor the process of developing trust among group members should be gradual and transitional. By the very nature of trust people must and may need to be encouraged to step outside their comfort zone in order to grow or gain awareness.

THE FIVE BEST WAYS TO BUILD - AND LOSE - TRUST IN THE WORKPLACE

Many experts agree that trust is perhaps the most important element of a harmonious, synergistic and efficient work environment. Organizations that have trust among employees are usually successful, those that don't frequently are not.

So, management often asks, "how can we build trust in the workforce, and how can we avoid losing it?" Well, it all starts at the very top, since trustfulness - and trustworthiness - can exist only if top management sets the example, and then builds that example into every department and unit.

There are five excellent ways for leaders to build trust into their teams, and five quick ways to lose it. First let's consider how to **create** it.

1. ***Establish and maintain integrity*.** It is the foundation of trust in any organization. Integrity must begin at the top and then move down. This means, among other things, keeping promises and always telling the truth, no matter how difficult it might be. If its people have integrity, an organization can be believed.
2. ***Communicate vision and values*.** Communication is important, since it provides the artery for information and truth. By communicating the organization's vision, management defines where it's going. By communicating its values, the methods for getting there are established.
3. ***Consider all employees as equal partners*.** Trust is established when even the newest rookie, a part-timer, or the lowest paid employee feels important and part of the team. This begins with management not being aloof, as well as getting out and meeting the troops. This should be followed by leaders seeking opinions and ideas (and giving credit for them), knowing the names of employees and their families and treating one and all with genuine respect.
4. ***Focus on shared, rather than personal goals*.** When employees feel everyone is pulling together to accomplish a shared vision, rather than a series of personal agendas, trust results. This is the essence of teamwork. When a team really works, the players trust one another.
5. ***Do what's right, regardless of personal risk*.** We all know intuitively what's "right" in nearly every situation. Following this instinctive sense, and ignoring

any personal consequences will nearly always create respect from those around us. From this respect will come trust.

All right, that's the positive. But what about the negative - the five fastest ways to **lose** trust from our co-workers.

1. ***Act and speak inconsistently.*** Nothing confuses people faster than inconsistency. And if confusion due to contradiction is the only constant, trust is sure to fall victim.
2. ***Seek personal rather than shared gain.*** One who is out only for him or herself, especially in a team environment, quickly loses the respect and trust of others.
3. ***Withhold information.*** When the communication channels shut down - both top-down and bottom-up - rumors start and misinformation is believed to be real. Then come denials. True information is often too late, or is never offered. Then trust falls apart.
4. ***Lie or tell half-truths.*** Untruthfulness is a quick way to break a bond of trust. People may accept it once, even twice, but as the old saying goes, "twice burned..."
5. ***Be closed-minded.*** An unwillingness to consider other ideas and points of view, and/or to create an atmosphere of, "it's going to be my way or the highway…," will certainly cut-off communication and eventually shatter trust.

When we look at the truly successful organizations of both today and yesterday, we find their leaders fostered these five principles of creating trust. Consider the great military leaders of history (Augustus Caesar, Oliver Cromwell and George Washington), as well as the genuinely beloved political leaders (yes, there actually have been some: Joan of Arc, Peter the Great and Gandhi). And then there are the highly respected industrial leaders (Henry Ford, Lee Iacocca and Jack Welch). All of these great leaders built trust among their superiors, peers and subordinates, and it was this that spurred success and greatness for themselves, their units, alliances and companies

Day II (Afternoon) Importance of Communication

Session-at-a-Glance

Session Plan	Session Structure	Teaching Methods	Time
Learning Objective: To create an awareness in the participants regarding importance of communication and the barriers to effective communication. To empower the participants to be better communicators by providing them with relevant inputs and also sharpening their skills.	• Introduction and clarification of concepts	Exercise A Lecture	10 20
	• Barriers to Effective Communication	Lecture Exercise (B) Exercise (C) Questionnaire (A) Questionnaire (B) Exercise (D)	10 40 10 10 10 30
Resources required: • Projector and computer • Flipcharts, marker pens • PowerPoint Slides • A4 size papers	• Improving Communication	Lecture	10
			150

Instructor Guide

(i) **Exercise A**. Use it as Ice breaking session.

(ii) Please read the write up, "Communication in Organizations" thoroughly. The sequence of topics suggested for the session closely follows the text. Lecture from time to time based on these material. Please use **Slides Day II (F) Introduction to Communication**.

(iii) Whenever OHP/Slide is used, take care not to turn back and look at the screen. The trainer should always face the audience. If something is to be pointed, it can be done on the transparency/ blank slide, which will also get projected.

(iv) Proceed to **Exercise B and then lecture using Slides Day II (F) Barriers to Communication.**

(v) After the **Exercise C *"Separate Facts from Inference"***, the trainer should point out that Separating Facts from Inferences is basically a communication skill irrespective of the field of applications. Number of correct responses by participants may also be checked (only statement No.3 is a fact). Differences in individual and group effectiveness can also be observed.

(vi) For ***Questionnaires A and B on Listening and Speaking***, respondents should be asked to give 'Yes' or 'No' answers to each Question, based on how they would behave during majority of situations. They have to answer questions based on how they would behave and not how they should behave. Most participants will know the ideal answers and so the questionnaires will give them some idea about themselves as listeners and speakers. If necessary, the trainer can give some explanations.

(vii) Conduct the ***drawing* exercise D.**

Reading Material for Facilitator and participants.

COMMUNICATION IN ORGANIZATIONS

Organizations, large and small, commercial and not-for-profit, religious and educational – are all structured to facilitate the achievement of objectives. The communication process in an organization connects superiors, subordinates, members of the peer group and the external environment. The top man's job is almost solely communication as he has the main task of linking and relating the organization with the environment.

In the absence of communication, human beings will have to exist as individuals never benefiting from the sharing of emotions, experiences, knowledge etc. Without communication, which has undisputed primary in the affairs of human race, man will not be able to unit to overcome limitations and ensure achievements.

Communication involves the transfer or rather exchange of ideas, information, understanding, feelings, emotions etc. between individuals. It can be defined as "who says what and why to whom through which channel with what effect". Though this is a reasonably comprehensive definition of communication, it is a process oriented one. It should be stated in this context that the concept of communication is common understanding between the involved parties – whom we shall refer to as the Sender and Receiver – about what is being communicated which we shall term as Message. "Message" may denote anything ranging from ideas to data to statistics to emotions and feelings.

The Importance of Communication

Studies have been conducted on the amount of time spent on communication by people from different walks of life. It is found that the group that has to spend least time for the process of communication is the shop floor level workers in manufacturing organizations. Even in their case, 40 to 60% of time is spent on communication. As a person's position in the organizational echelon is higher and higher, the time required to be spent on communication is more and more. The head of any organization may be expected to spend more than 80% of his/her time on some form of communication or the other. What this means is that how effectively, efficiently, creatively and productively that person communicates will decide his overall effectiveness, efficiency, creativity and productivity to a corresponding extent. The communication process in any organization is so vital for the achievement of its objectives. How a communication system is managed in an organization ie., how effective it is, has a profound impact on the ultimate effectiveness of the total organization.

Numerous studies have confirmed the impact of communication, organizational productivity, efficiency and effectiveness. In one such study, the reasons for wide variations in productivity among twenty seven branches of a package – delivery organization, were explored. As part of the study communication data were collected from the 975 employees from the branches. Comparison of productivity and communication data revealed positive correlation between high performance and open communication between superiors and subordinates.

In a survey conducted among nearly a hundred business organizations with the objective of determining how much of top management has to say is actually understood, the following facts were revealed.

1. At the vice presidential level managers understand about two thirds of what they hear from the top

2. At the general supervisor level managers understand 56 per cent of the top level information.

3. At the manager level managers perceive only 40 per cent.

4. Foremen perceive 30 per cent

5. Persons on the production line understand 20 per cent

The above findings throw light on the need and potential for management for improving communication skills.

The ABCs of Communication

Like any other process, communication also has its ABCs and it is interesting to note that the ABCs of communication are:

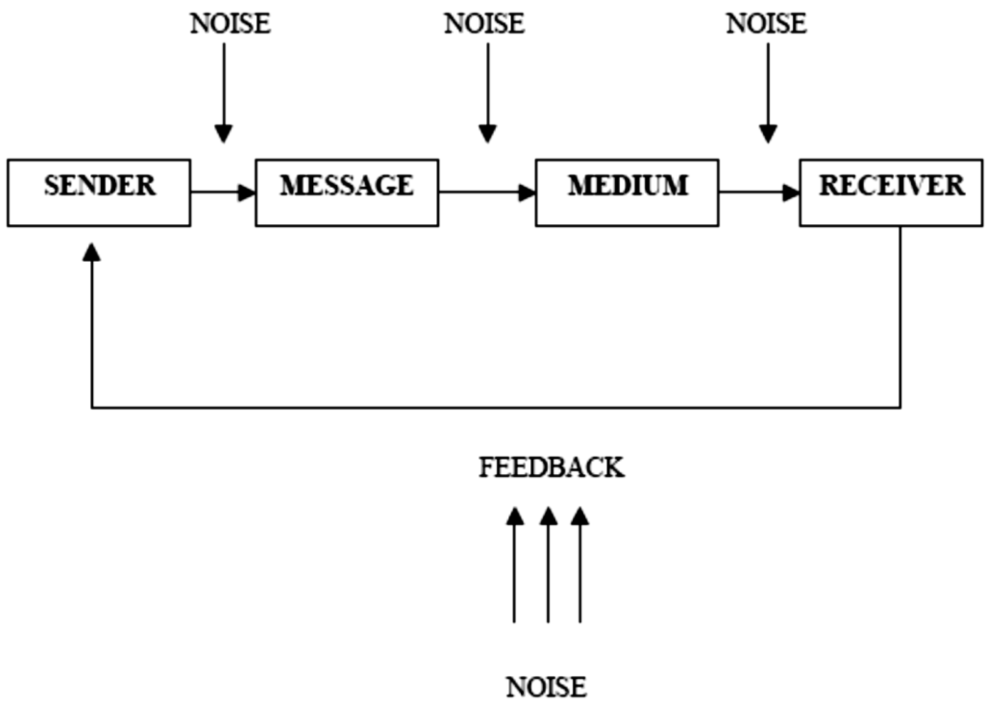
A - Attractiveness

B - Brevity

C - Clarity

The Process of Communication

Whatever is being communicated is called ‘Message’. The person from whom the message originates – the one who initiates the process of communication – is called the Sender. The person for whom the communication is meant is called the Receiver. Communication cannot take place in a vaccum. It has to have a medium or channel. After receiving the message the ‘Receiver’ will react or respond to the sender when provision for that exists. This part of the communication process may be termed Feedback. When there is no provision for ‘Receiver to Sender Feedback’, it may be called one-way communication. This, in most cases, may increase the distortion between the intended message and the one that is received. There are various barriers to effective communication which may affect the process at any stage and they can be collectively designated by the term ‘NOISE’. The following model will illustrate the process of communication.



Communication Categories

Based on the presence or absence of two important attributes of communication viz., effectiveness and impressiveness, all communication can be grouped in to one of the following categories:

- Effective and Impressive
- Effective but Unimpressive
- Ineffective but Impressive
- Ineffective and Unimpressive

Needless to mention, the best of the above lot is the first category and the last one is the worst. It should be one's aim to make his/her communication effective and attribute each is present while the other is lacking. If a choice is to be made between the second and third categories, definitely the preference must be for the second one. In other words, if we have to prioritize, effectiveness has primacy.

Barriers to Effective Organizational Communication

There are many barriers that can impede the process of communication resulting in a communication breakdown. Some of the common barriers to effective communication are described below. However, it should be remembered that the list is not exhaustive.

(i) ***Transmission Alterations***: This refers to the changes that the original message undergoes when it passes through various people. The greater the differences between the people involved with respect to various factors like cultural background, social class, educational level, age group, experience etc. the greater will be the alterations that the message undergoes. One effective way to overcome the barrier – or at least reduce its ill effects – would be to ask the receiver to repeat what he/she has understood. This will provide the sender with an opportunity make corrections to the perceived message if found necessary. When one has the role of the receiver and if the sender is not making any effort on the lines suggested above, the receiver may take the initiative for making the required clarification.

(ii) ***Physical Limitations***: The difference between perception and reality may be termed perceptual error. Our sensory limitations – those of sight, sound, touch, taste and smell-restrict perceptual clarity.

(iii) ***Inattention:*** This is related to the receiver, care should be taken to give proper attention to the message. When in sender's role, one should start communicating only after ensuring required level of attention on the part of the receivers. Despite physical proximity with the sender, the receiver's level of attention may come down or his/her thoughts may take side excursions while the sender is talking. The sender should recognize this as a natural and normal phenomenon and make efforts to regain receivers' attention at periodic intervals.

(iv) ***Selective Listening***: When receivers tend to "block out" information, especially when it is contradictory to what one believes, it results in selective perception. It is a common practice for people to ignore or distort information that conflicts with ones prescribed notions.

(v) ***Mistrust of the Source:*** Over a period of time, we develop various levels of trust, confidence or faith in the words of the sender. It may be termed source credibility. To be an effective communicator, one should develop himself/herself as a credible source of information.

(vi) ***Exaggeration:*** People may resort to exaggeration to dramatize ones presentation or to make it more attractive, humorous etc. However, in the long run, one who is known to exaggerate always loses credibility.

(vii) ***Distortion:*** Distortion of the original message may occur due to various factors. Distortion may be accidental or intentional. In earlier case, the end result is undesirable and harmful.

(viii) ***Uniqueness:*** No two phenomena, no too things, no two human beings are exactly alike. Because of the uniqueness of individuals, their experiences, and as a result of this, their perceptions differ.

(ix) **Badly Expressed Messages**: Badly expressed messages may be the result of inadequate preparation, inadequate control over the medium, mannerisms of the sender etc. Even a wrong punctuation can result in badly expressed messages which may not convey any meaning or may convey an unintended message.

(x) **Unclarified Assumptions:** When one hears, sees or reads something he/she may make certain assumptions, which have no relation with reality. When one makes decisions or takes action based on wrong assumptions, the result will be disastrous.

(xi) ***Abstractions:*** In abstracting – the process of leaving something out to derive meaning – people give differential emphasis to different factors. Because of this, different people, when bombarded with the same stimulus or set of stimuli, may give different responses based on different conclusions.

(xii) **Absentmindedness**: Mental pre-occupation resulting in absentmindedness can be a very important barrier to effective communication. When in the role of the receiver, one should safeguard himself/herself from it and when in the sender's role, should watch for signs of absentmindedness on the part of the receiver and take steps to ensure proper attention and involvement.

(xiii) **Time Pressure:** People in positions of authority and responsibility may not have enough time to communicate with everybody. Time Pressure can result in improper and insufficient communication. Time pressure may even lead to short-circuiting which means people being left out of the formal channel of communication, who normally would have been included.

Improving Communication Skills

Remember the old adage, "Reading make a full man", writing an exact man and conference a ready man" and practice it to be a wise communicator.

Though there are various forms of communication, more often than not, we communicate orally. Oral communication involves:

(i) Listening

(ii) Speaking

Improving Organizational Communication

There is no magic formula for ensuring effective organizational communication as it is too complicated a process. However, organizational communication can be bettered. An awareness of the barriers to effective communication will help in two ways:

(1) Avoiding the barriers or reducing their ill effects in one's communication

(2) Anticipating communication malfunctions in others which helps to overcome many a barrier in communication.

In ones effort to become a better communicator, he/she must not only strive to be understood but also to understand. The task is twofold. First, the message must be improved. So should be the understanding of what other people are trying to communicate to them. Some techniques that will aid in the accomplishment of these tasks are discussed below:

1. ***Receiver Orientation:*** To improve communication, one should speak the language of the receiver. Care should be taken to use words and usages that suit the listener's intelligence and background.

2. ***Attention to the ABCs***: As a guiding principle for effective communication it should always be remembered to give proper attention to the ABCs viz., attractiveness, brevity and clarity.

3. ***Appropriateness:*** Appropriateness in communication means a lot of things. There should not be too much or too little of communication. It should not be too formal or too informal. It should sound serious or humorous depending on the topic being discussed, the nature of the receiver, time availability etc.

4. ***Use of Humour:*** Communication process is akin to the functioning of machinery with moving parts which requires lubrication for smooth friction-free operation. An effective 'lubricant' for the process of communication is humour. However, care should be taken to use it judiciously to avoid unintended or negative results.

5. ***Use of Right Appeal:*** The effectiveness of communication will be greatly enhanced when the right appeal is used. The skill of the communicator lies in identifying the right appeal for each situation and then using it.

6. ***Repetition:*** The universally acknowledged principle of learning viz., repetition can greatly contribute to communication effectiveness. Repetition will ensure that even if one part of the message is not understood, there are other parts, which will carry the same meaning.

7. ***Effective Timing***: A host of message compete for people's attention simultaneously. Many are not even decoded or received just because of the impossibility of taking them all in. Messages are best understood and received when they face least competition from other messages. Improper timing can result in distortions and value judgements which are harmful.

8. **Simplifying Language:** Many people, especially teachers and trainers have the habit of resorting to technical jargon that transforms simple concepts into complex puzzles. Complicated language is a very important barrier to effective communication. It has to be recognized that effective communication involves transmitting understanding as well as information.

9. ***Effective Listening***: Effective listening is as important to communication as effective speaking. Managers must not only seek to be understood but also to understand. By proper listening, one can encourage other to express true feelings, hopes, aspirations and emotions. More than just listening, 'listening with understanding' is what is required.

Conclusion

The above discussion attempted to convey the basics in the process of communication and means and techniques for effective communication. The principles described apply to oral and written communication and is equally significant whether communication is vertical, horizontal or diagonal. Some of the techniques suggested for improving communication may find difficulty in being translated in to action for want of time. However, it is hoped that the discussion has thrown enough light on the challenge of effective communication and its requirements. Managers have to be effective in both transmission and reception. They must communicate effectively in their endeavour to understand and be understood, which will go a long way in improving their effectiveness and efficiency as managers.

Reference

STATT, D.A, Using Psychology in Management Training, Taylor and Francis, Inc 2000
Luthans F., Organisational Behaviour, IRWIN/McGRAW-HILL 1998

EXCERSISE A

PLEASE FOLLOW THE INSTRUCTIONS

01. Read everything before doing anything, but work as rapidly as you can

02. Put you name and address in the space provided for:

Name:……………………………

Address:………………………….

03. Circle the world name in the second instruction

04. Write the name of your native place:……………………….

05. Now draw a circle around the title of this paper

06. Sign your name under the title

07. In sentence four, draw a circle around the word "native".

08. Write the name of India's Capital:……………………..

09. Underline all of sentence seven

10. Stand up for a few seconds (2 to 5 seconds will do).

11. Draw an "X" in the lower left hand corner of this paper.

12. Draw a circle around the "X" you drew just now.

13. Write the name of your husband or wife if you are married If not, write your father's name:……………..

14. Draw a circle around the word "Capital" in sentence eight.

15. Shout out loud your name when you get to this point.

16. If you think you have followed instructions to this point, call out "I HAVE" in such way that everyone in the room can hear you.

17. Close your eyes and raise your left hand over your head.

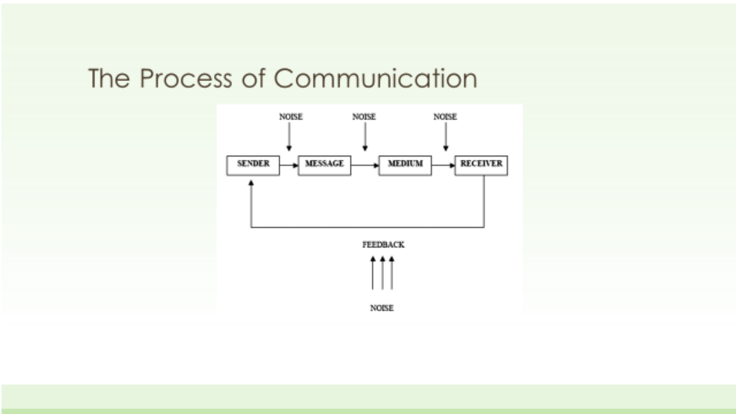
18. Write your designation.

19. Count out loud and clear in your voice, backwards from ten to one.

20. Now that you have read the instructions carefully, do only what instructions one and twenty ask you to do. Ignore all other directions.

Note: Please do not give this paper to anybody; make no comments or explanations If you have read this far, pretend that you are still writing. Let us see how many persons really follow instructions carefully.

SLIDES DAY II (F) INTRODUCTION TO COMMUNICATION.



EXERCISE B

The following modus operandi is suggested for the ***story telling exercise***:

(a) Request five volunteers to wait outside the hall at a distance from where they cannot hear what somebody speaks in the class.

(b) Allot them numbers 1-5 and tell them that they will have to return to class in this order when called

(c) Request anyone in the hall to share an interesting incident in her/his life, which other participants do not know.

(d) After the narration is over, request volunteer No.1 to return to the class. She/he may be given a chair right in the front.

(e) Request any member in the audience to come forward and repeat the narration she/he heard. Volunteer No.1 should be asked to listen carefully to the narration and others should be instructed not to offer explanations, clarifications etc.

(f) After this step is over, volunteer No.2 should be brought to the class and Volunteer No.1 should tell her/him what he heard.

(g) This process has to be continued. Volunteer No.2 should repeat what she/he heard to Volunteer No.3 and Volunteer No.3 has to do the same with Volunteer No.4.

(h) Volunteer No.4 should be asked to go to Volunteer No.5 who is waiting outside and tell her/him what she/he heard.

(i) After step (h) Volunteer Nos.4 and 5 should return to the class. Volunteer No.4 should be requested to occupy a seat and No.5 should be asked to repeat what she/he heard to the group.

(j) The narrations by Volunteer No.5 and that of the original storyteller can be compared to get some idea of the transmission alterations.

(k) This exercise can be very interesting and audience usually burst out laughing during each narration.

(l) It will be interesting to record the original story and the narration of the Volunteer No.5 for obvious reasons.

SLIDES DAY II (F) BARRIERS TO COMMUNICATION.

Barriers

to

Communication

Barriers to Effective Organizational Communication

- Transmission Alterations
- Physical Limitations
- Inattention
- Selective Listening
- Mistrust of the Source
- Exaggeration
- Distortion
- Uniqueness
- Badly Expressed Messages
- Unclarified Assumptions
- Unclarified Assumptions
- Absentmindedness
- Time Pressure

- Improving Communication Skills
- Improving Organisational Communication

After Exercise D

Exercise C

SEPARATE FACT FROM INFERENCE

Read the narration carefully which follows. Then see how well you can distinguish a FACT from an INFERENCE.

Shama, a buyer with the XYZ Company, was scheduled for a 10 O'Clock meeting in Singh's office to discuss the terms of a large order. On the way to that office, the buyer slipped on a freshly waxed floor and as a result received a badly bruised leg. By the time Singh was notified of the accident, Shama was on the way to the hospital for X-ray. Singh called the hospital to enquire, but no one there seemed to know anything about Sharma. It is possible that Singh called the wrong hospital.

Examine the statements below. Without discussion, put a tick (✓) mark against each statement as to whether it is a FACT or an INFERENCE (in the personal choice columns)

Statements	Personal Choice		Group Choice	
	Fact	Inference	Fact	Inference
1. Mr. Sharma is a buyer				
2. Shama was supposed to meet with Singh				
3. Shama was scheduled for a 10 o'clock meeting				
4. The accident occurred at XYZ company				
5. Shama was Taken to the hospital for X-ray				
6. No one at the hospital which Singh called knew anything about Shama				
7. Singh had called the wrong hospital.				

Questionnaire A

COMMUNICATING EFFECTIVELY-I (LISTENING)

1. Are you waiting impatiently for the other person to shut up so that you can talk?

2. Are you in such a hurry to offer a solution that you don't want to hear the problem?

3. Are you listening only for what you like to hear?

4. Do emotional blocks get in the way of your listening?

5. Do your thoughts take side excursions while the other person is talking?

6. Are you memorizing more details instead of getting the main points?

7. Do you quit listening when the subject matter gets difficult?

8. Do you have a negative attitude while listening?

9. Do you just pretend to listen?

10. Do you put yourself in the speaker's place to understand what makes him/her say that?

11. Do you take into account that you and the speaker may not be discussing the same question?

12. Are you alert for misunderstandings that could arise because the words don't mean the same to you as they do to the speaker?

13. Do you try to find out what the argument is about? Whether there is a real difference of opinions or is it just a matter of stating the problem?

Questionnaire B

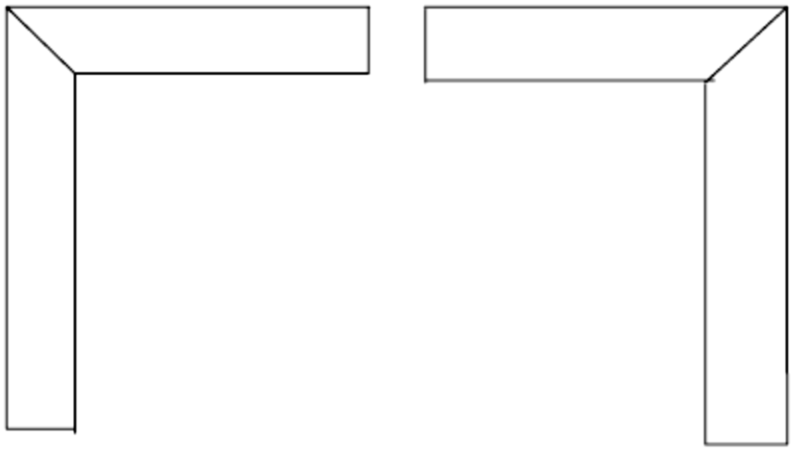
COMMUNICATING EFFECTIVELY-II (SPEAKING)

1. Are you careful to watch for signs of misunderstandings in your listener?
2. Do you choose words that fit the listener's intelligence and backgrounds?
3. Do you think out directions before giving them?
4. Do you breakdown orders in to small enough packages?
5. If your listener does not ask questions about a new idea you are presenting, do you assume that he/she understands it?
6. Do you speak distinctly? Control distractions as far as possible?
7. Do you "bale" your thoughts before speaking so that you won't ramble?
8. Do you put the listener at ease?
9. Do you encourage questions?
10. Do you assume that you know what the other person has in his/her mind? Or do you ask questions to find out?
11. Do you distinguish between facts and opinions?
12. Do you stiffen up the opposition by contradicting his/her/their statements?
13. Do you influence your listeners to be "Yes Sir", "Yes Madam" or "Yes friend" people?

EXERCISE D

The participants may be divided in to two equal groups (say No. Ones and No. Twos) and one group can be asked to wait outside the hall.

To each participant inside the hall a piece of paper (½ of an A4 size sheet) should be given and they should be requested to write their names on top left. The following 2 figures should be projected on the screen and each participant should copy one of the figures on their sheets of paper reasonably big enough, with the sketch pens that will be supplied to them.



Then they should be given the instruction sheet – sample attached – which will be of A4 size. The group of No. Ones who are given the role of senders should be given the task of making one from the other group (they will be receivers) draw the same diagram that No. Ones have drawn initially on the right hand side of the instruction sheet, by giving written instructions. They cannot give any pictorial directives. After the Senders' finish writing down instructions their initial drawings should be collected and kept away. The pictures should no longer be projected on the screen. Then the group, which has been waiting outside the hall, should be asked to come in. The senders should hand over the instruction sheets to the receivers. The sender should not be allowed to orally communicate with the receivers. But they should be encouraged to watch how the receivers proceed. Once the receivers have completed 'their' drawings the instruction sheets should be collected back and each drawing should be paired with its "original". Each set should be shown to the entire group with trainer's comments whenever appropriate.

Day III (Forenoon): Motivation

Session-at-a-Glance

Session Plan	Session Structure	Teaching Methods	Time
Learning Objective: To make the participants aware of the multifaceted impact of the concept of motivation, sources of motivation and its impact upon efficient organisational functioning. **Resources required:** • Projector and computer • Flipcharts, marker pens • PowerPoint Slides • Tower Building Materials	Introduction to motivation. Types of Motivation, How to motivate team members.	Video 1 Discussion Questionnaire Group discussion Video 2A Video 2B Lecture	20 min 20 min 25 min 20 min 20 min 20 min 15 min
			150

Instructor Guide

Please show the video '***The Ordinary Heroes of the Taj Hotel- Rohit Deshpande***'

Discuss: 'What motivates' in context of the above video.

We have seen in the video that the employees were selected based on their values. What are your Personal Values? Do you know? Initiate further discussion.

Ask for the questionnaire to be filled up and then give the key to the questionnaire. Initiate group discussion. Explain how each personality types can be motivated given their vocational personality type.

Show the videos:

1. ***Dan Ariely What makes us feel good about our work***
2. ***Dan Pink: The puzzle of motivation.***

Give a lecture using slides.

QUESTIONNAIRE

Check all of the statements that describe you most of the time.

A

Are you:
__ practical
__ athletic
__ straightforward
__ mechanically inclined
__ a nature lover
__ curious about the physical world?

Can you:
__ fix electrical things
__ solve mechanical problems
__ pitch a tent
__ play a sport
__ read a blueprint
__ operate tools and machinery?

Do you like to:
__ tinker with machines
__ work outdoors
__ be physically active
__ work with your hands
__ build things
__ work on cars?

TOTAL___________

B

Are you:
__ inquisitive
__ analytical
__ scientific
__ observant
__ logical
__ precise?

Can you:
__ think abstractly
__ solve math problems
__ understand physics theories
__ do complex calculations
__ use a microscope
__ interpret formulas?

Do you like to:
__ explore ideas
__ use computers
__ work independently
__ perform lab experiments
__ read scientific or technical magazines
__ analyze data?

C

Are you:
__ creative
__ intuitive
__ imaginative
__ innovative
__ sensitive
__ an individualist?

Can you:
__ sketch, draw, paint
__ use intuition
__ play a musical instrument
__ write stories, poetry, music
__ develop new ideas, approaches
__ design fashions or interiors?

Do you like to:
__ solve problems in original ways
__ read fiction, plays, poetry
__ use verbal abilities to speak, act, entertain
__ take photographs
__ use visualization abilities
__ express yourself creatively?

TOTAL___________

D

Are you:
__ friendly
__ helpful
__ idealistic
__ insightful about people
__ outgoing with others
__ understanding?

Can you:
__ teach or train others
__ express your feelings clearly
__ lead a group discussion
__ mediate disputes
__ cooperate well with others
__ work well in groups or teams?

Do You Like To:
__ use social and interpersonal skills
__ help people with their problems
__ lead groups
__ use communication skills
__ teach or train others
__ provide support, empathy?

TOTAL___________

E

Are you:
__ self-confident
__ assertive
__ sociable
__ persuasive
__ enthusiastic
__ energetic?

Can you:
__ initiate projects
__ convince people to do things your way
__ sell things or promote ideas
__ give talks or speeches
__ organize activities and events
__ lead a group?

Do You Like To:
__ make decisions affecting others
__ use energy or drive
__ give speeches or talks
__ use skills in argument or debate
__ take risks
__ organize and lead others?

TOTAL___________

F

Are you:
__ well-organized
__ accurate with details and numbers
__ interested in number crunching
__ methodical
__ conscientious about facts
__ efficient?

Can you:
__ work well within an authority system or organization
__ write reports
__ keep accurate records
__ use a computer terminal
__ perform calculations
__ gather, organize and report data?

Do You Like To:
__ follow defined procedures
__ make charts, tables and graphs
__ work with numbers
__ type or do word processing
__ classify and organize information
__ be responsible for details?

TOTAL___________

KEY TO QUESTIONNAIRE

John Holland, Ph.D., professor emeritus at Johns Hopkins University, is a psychologist who devoted his professional life to researching issues related to career choice and satisfaction. He developed a well-known theory, and designed several assessments and supporting materials to assist people in making effective career choices. His theory and assessment tools have helped millions of people worldwide and are supported by hundreds of research studies.

Holland's Theory

Holland found that people needing help with career decisions can be supported by understanding their resemblance to the following six ideal vocational personality types:

 Realistic (R)

 Investigative (I)

 Artistic (A)

 Social (S)

 Enterprising (E)

 Conventional (C)

Work settings can also be categorized by their resemblance to six similar model work environments. Because people search for environments that allow them to express their interests, skills, attitudes and values, and take on interesting problems and agreeable roles, work environments become populated by individuals with related occupational personality types.

Holland's Six Personality Types

The descriptions of Holland's personality types refer to idealized or pure types. Holland's personality types are visually represented by a hexagonal model. The types closest to each other on the hexagon have the most characteristics in common. Those types that are furthest apart, i.e., opposites on the hexagon, have the least in common.

Listed below are the six Holland Occupational Personality Types. The descriptions of "pure types" will rarely be an exact fit for any one person. Your personality will more likely combine several types to varying degrees. To get a better picture of how your interests and skills relate to the types and to identify your dominant type, you can highlight the phrases in each description that are true for you.

Realistic (R)

Realistic individuals are active and stable and enjoy hands-on or manual activities, such as building, mechanics, machinery operation and athletics. They prefer to work with things rather than ideas and people. They enjoy engaging in physical activity and often like being outdoors and working with plants and animals. People who fall into this category generally prefer to "learn by doing" in a practical, task-oriented setting, as opposed to spending extended periods of time in a classroom. Realistic types tend to communicate in a frank, direct manner and value material things. They perceive themselves as skilled in mechanical and physical activities but may be uncomfortable or less adept with human relations. The preferred work environment of the realistic type fosters technical competencies and work that allows them to produce tangible results.

Investigative (I)

Investigative individuals are analytical, intellectual and observant and enjoy research, mathematical or scientific activities. They are drawn to ambiguous challenges and may be stifled in highly structured environments. People who fall into this category enjoy using logic and solving highly complex, abstract problems. Because they are introspective and focused on creative problem solving, investigative types often work autonomously and do not seek leadership roles. They place a high value on science and learning and perceive themselves as scholarly and having scientific or mathematical ability but lacking leadership and persuasive skills. The preferred work environment of the investigative type encourages scientific competencies, allows independent work and focuses on solving abstract, complex problems in original ways.

Artistic (A)

Artistic individuals are original, intuitive and imaginative and enjoy creative activities, such as composing or playing music, writing, drawing or painting and acting in or directing stage productions. They seek opportunities for self-expression through artistic creation. People who fall into this category prefer flexibility and ambiguity and have an aversion to convention and conformity. Artistic types are generally impulsive and emotional and tend to communicate in a very expressive and open manner. They value aesthetics and view themselves as creative, non-conforming and as appreciating or possessing musical, dramatic, artistic or writing abilities while lacking clerical or organizational skills. The preferred work environment of the artistic type fosters creative competencies, and encourages originality and use of the imagination in a flexible, unstructured setting.

Social (S)

Social individuals are humanistic, idealistic, responsible and concerned with the welfare of others. They enjoy participating in group activities and helping, training, healing, counselling or developing others. They are generally focused on human relationships and enjoy social activities and solving interpersonal problems. Social types seek opportunities to work as part of a team, solve problems through discussions and utilize interpersonal skills but may avoid activities that involve systematic use of equipment or machines. Because they genuinely enjoy working with people, they communicate in a warm and tactful manner and can be persuasive. They view themselves as understanding, helpful, cheerful and skilled in teaching but lacking in mechanical ability. The preferred work environment of the social type encourages teamwork and allows for significant interaction with others.

Enterprising (E)

Enterprising individuals are energetic, ambitious, adventurous, sociable and self-confident. They enjoy activities that require them to persuade others, such as sales, and seek out leadership roles. They are invigorated by using their interpersonal, leadership and persuasive abilities to obtain organizational goals or economic gain but may avoid routine or systematic activities. They are often effective public speakers and are generally sociable but may be viewed as domineering. They view themselves as assertive, self-confident and skilled in leadership and speaking but lacking in scientific abilities. The preferred work environment of the enterprising type encourages them to engage in activities, such as leadership, management and selling, and rewards them through the attainment of money, power and status.

Conventional (C)

Conventional individuals are efficient, careful, conforming, organized and conscientious. They are comfortable working within an established chain of command and prefer carrying out well-defined instructions over assuming leadership roles. They prefer organized, systematic activities and have an aversion to ambiguity. They are skilled in and often enjoy maintaining and manipulating data, organizing schedules and operating office equipment. While they rarely seek leadership or "spotlight" roles, they are thorough, persistent and reliable in carrying out tasks. Conventional types view themselves as responsible, orderly and efficient, and possessing clerical, organizational and numerical abilities. They may also see themselves as unimaginative or lacking in creativity. The preferred work environment of the conventional type fosters organizational competencies, such as record keeping and data management, in a structured operation and places high value on conformity and dependability.

In the above questionnaire each work personality type is represented as follows:

Realistic (R)	A
Investigative (I)	B
Artistic (A)	C
Social (S)	D
Enterprising (E)	E
Conventional (C)	F

The scores tell you what is your work personality type. However, most of us will have one dominant type of work personality along with other types of work personality. An individual finds most satisfaction when his work or assignments find accomplishment of their work personalities. Thus, that individual finds the work enjoyable and this in turn motivates him to perform better job.

Material for both the course facilitator and the participants

MOTIVATION

1. Introduction

People differ by nature, not only in their ability to perform a specific task but also in their will to do so. People with less ability but stronger will are able to perform better than people with superior ability and lack of will. Hard work is crucial to success and achievement. This belief was underscored by Albert Einstein when he said that "genius is 10% inspiration and 90% perspiration." This "will" to do is known as motivation.

The force of motivation is a dynamic force setting a person into motion or action. The word motivation is derived from motive which is defined as an active form of a desire, craving or need which must be satisfied. All motives are directed towards goals and the needs and desires affect or change your behaviour which becomes goal oriented. For example, if you ordinarily do not want to work overtime, it is quite likely that at a particular time, you may need more money (desire) so you may change your behaviour, work overtime (goal oriented behaviour) and satisfy your needs.

Viteles defines motivation as follows:

"Motivation represents an unsatisfied need which creates a state of tension or disequilibrium, causing the individual to move in a goal directed pattern towards restoring a state of equilibrium, by satisfying the need."

Motivated people are in constant state of tension. This tension is relieved by drives towards an activity and outcome that is meant to reduce or relieve such tension. The greater the tension, the more activity will be needed to bring about relief and hence higher the motivation.

2. Sources of motivation

Experts in the organizational behaviour field have a divided opinion as to whether workers are motivated by factors in the external environment such as rewards or fear or whether motivation is self-generated without the application of external factors. It is quite well understood that under the same set of external factors all workers are not equally motivated. Some of these motivational sources are:

a) ***Positive Motivation***: Positive motivation involves proper recognition of employee efforts and appreciation of employee contribution towards the organizational goal achievement. Such motivations improve the standards of performance, lead to good team spirit and pride, a sense of co-operation and a feeling of belonging and happiness. Some of the positive motivators are:

- ✓ Praise and credit for work done.
- ✓ A sincere interest in the welfare of subordinates.
- ✓ Delegation of authority and responsibility to subordinates.
- ✓ Participation of subordinates in the decision making process.

b) ***Negative or Fear Motivation***: This motivation is based upon the use of force, power, fear and threats. The fear of punishment or unfavourable consequences affects the behavioural changes. Some examples of negative motivation include the fear of failing in the examination, and fear of being fired or demoted. Fear of failure in the examination induces motivation in many students to work harder and pass the course. Similarly, fear of being fired keeps the workers in line with the organizational rules and regulations as well as do a satisfactory job.

While the fear of punishment and actual punishment has resulted in controlling individual misbehaviour and has contributed towards positive performance in many situations and is necessary and useful in many other situations such as disciplining a child or handling a riot, it is not recommended or considered as a viable alternative in the current business and industrial environment.

This is based upon the trend and changes in the workforce including higher level of employee education and extensive employee unionization.

However, punishment or fear of it is still the most common technique of behaviour modification or control in today's life. When a child misbehaves, he is still spanked. If a worker does not behave according to the way the organization wants him to behave, he is fired. If a person does not behave as the society and law wants him to behave, he is punished by arrest and jail. All religions threaten punishment in the life hereafter if a person does not behave according to God's and religious rules.

Does the punishment system work? Does it change behaviour? Does the prison system reform the criminal? Does spanking make a "good" child? This area has received considerable attention and has become highly controversial. It has been proposed that while punishment has immediate and short-term effect in affecting and changing behaviour, the long term effects are highly questionable. A driver who gets fined for running a red light where he is supposed to stop may vow never to do it again at that time, but as the time passes, he will do it again.

In the context of organizational behaviour, no worker likes to be criticized, or threatened with employment termination. Specifically, if the worker is punished for an occasional undesired behaviour, it will have a negative effect on his morale, make him bitter with a hostile state of mind, affecting negatively his social interaction as well as his sense of loyalty, perhaps resulting in poor performance and productivity and quality.

c) ***Extrinsic Motivation***: This type of motivation is induced by external factors which are primarily financial in nature. It is based upon the assumption that the behaviour with results in positive rewards tends to be repeated. However, the reward for the desired behaviour should be sufficiently powerful and durable so that it improves the probability of occurrence of desirable behaviour. Money is probably the most important incentive for positive behaviour since money can be used for a number of other resources.

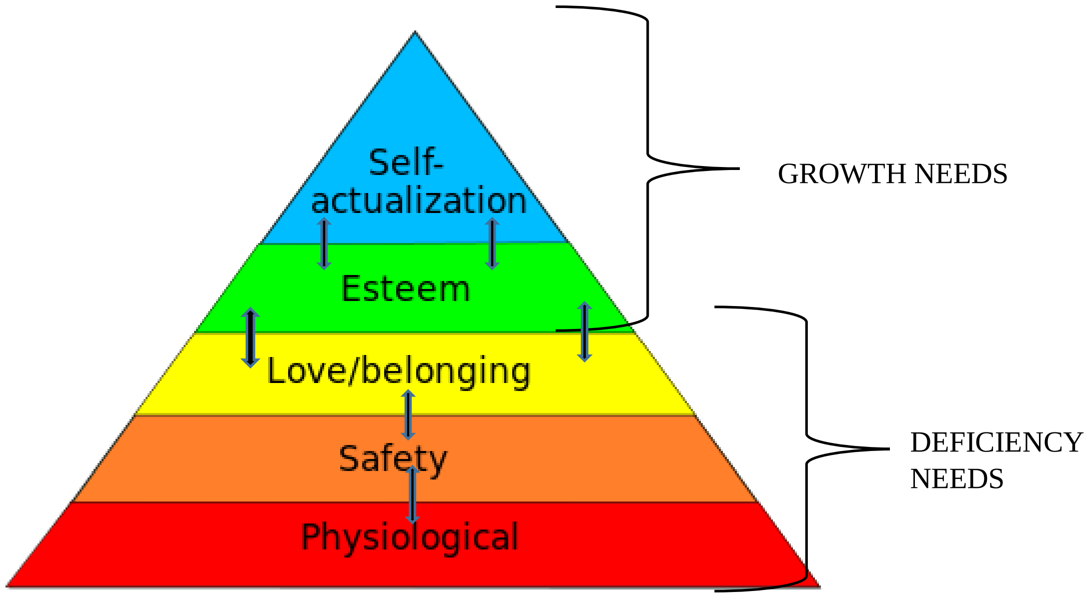
These financial incentives and rewards have been a subject of debate whether they really motivate the employees or simply move them to work and perform. These include higher pay, fringe benefits such as retirement plans, stock options, profit sharing scheme, paid vacation, health and medical insurance, sympathetic supervision and people oriented company policies.

c) ***Intrinsic Motivation***: Intrinsic Motivation stems from feelings of achievement and accomplishment and is concerned with the state of self-actualization in which the satisfaction of accomplishing something worthwhile motivates the employee further so that this motivation is self-generated and is independent of financial rewards. For example, there are many retired doctors who work free in the hospital because it gives them a sense of accomplishment and satisfaction. Mother Teresa's work in the slums of Calcutta, India, not only motivates the people who work with her but also many others who simply hear about her work and then want to join the team. Similarly, Peace Corps workers work in uncomfortable environments at a minimal pay. Some of the intrinsic motivators and praise, recognition, responsibility, esteem, power, status, challenges and decision making responsibility.

3. Theories of Motivation

1. ***Maslow's Model***: Maslow's "needs hierarchy theory" is probably the most widely used theory of motivation in organization. Abraham Maslow9 suggested that people have a complex set of exceptionally strong needs and the behaviour of individuals at a particular moment is usually determined by their strongest need. He developed his model of human motivation in 1943, based upon his own clinical experience and formulated his theory of hierarchical needs by asking the same question, "What is it that makes people behave the way they do?" and made a list of answers from which he developed a pattern. His theory is based upon two assumptions. First, that human beings have many needs that are different in nature ranging from the biological needs at the lower level which is the level of survival, to psychological needs at the upper extreme which is the level of growth. Second that these needs occur in an order of hierarchy so that lower level needs must be satisfied before higher level needs arise or become motivators. Mahatma Gandhi, the Indian leader, once remarked that "even God cannot talk to a hungry man except in terms of food." Similarly, there is a quotation from the Holy Guru Granth Sahib, the holy scripture of Sikhs when a holy man says to god. "Take your rosary beads away. I cannot worship and meditate on you when I am hungry." This means that if the people's basic needs which are biological in nature are unsatisfied, then their total attention will be focused upon these needs and it will not be possible to communicate with them about other matters.

This model of hierarchical needs explains human behaviour in a more dynamic and realistic manner and is primarily based upon people's inner states as a basis for motivation and the environmental conditions do not play any significant role. Maslow postulates five basic needs arranged in successive levels. These needs continue to change resulting in change in goals and activities. These five needs are arranged in the form of a pyramid as shown. The first three level needs at the bottom of the pyramid are known as "*deficiency*" needs, because they must be satisfied in order to ensure the individual's very existence and security and make him fundamentally comfortable. The top two sets of needs are termed "*growth*" needs because they are concerned with personal growth, development and realization of one's potential.



These needs are explained in detail as follows:

1. Physiological needs

The physiological needs form the foundation of the hierarchy and tend to have the highest strength in terms of motivation. These are primarily the needs arising out of physiological or biological tension and they are there to sustain life itself and include the basic needs for food, water, shelter and sex. Sexual need and desire is not to be confused with love which is at the third level. Once these basic needs are satisfied to the degree needed for the sufficient and comfortable operation of the body, then the other levels of needs become important and start acting as motivators.

2. Security and Safety needs

Once the physiological needs are gratified, the safety and security needs become predominant. These are the needs for self-preservation as against physiological needs which are for survival. These needs include those of security, stability, freedom from anxiety and a structured and ordered environment. These safety and security needs are really provisions against deprivation of satisfaction of physiological needs in the future. It also involves a sense of protection against threats and danger of losing the job in the future. In a civilized society such as ours, a person is usually protected from threats of violence or extremes in climate or fear of material safety, so that the safety and security needs dwell upon economic and job security, life and medical insurance and other protective measures to safeguard the satisfaction of physiological needs in the future which may be unpredictable.

3. Love and social needs

After the needs of the body and security are satisfied, then a sense of belonging and acceptance becomes prominent in motivating behaviour. These needs include the needs for love, friendship, affection, and social interaction. We look for an environment where we are understood, respected and wanted. That is one reason for "polarization" where people of similar background and beliefs tend to group together. "Love thy neighbour" has perhaps a profound meaning.

4. Esteem needs

This need for esteem is to attain recognition from others which would induce a feeling of self-worth and self-confidence in the individual. It is an urge for achievement, prestige, status and power. Self-respect is the internal recognition. The respect from others is the external recognition and an appreciation of one's individuality as well as his contribution. This would result in self-confidence, independence, status, reputation and prestige. People then would begin to feel that they are useful and have some positive effect on their surrounding environment.

5. Self-actualization needs

This last need is the need to develop fully and to realize one's capacities and potentialities to the fullest extent possible, whatever these capacities and potentialities may be. This is the highest level of need in Maslow's hierarchy and is activated as a motivator when all other needs have been reasonably fulfilled. At this level, the person seeks challenging work assignments that allow for creativity and opportunities for personal growth and advancement.

This need is for soul searching and is inner-oriented. A self-actualized person is creative, independent, content, and spontaneous and has a good perception of reality, and he is constantly striving to realize his full potential. Thus, "what a man 'can' be, 'must' be."

Maslow's model is a general model in which all needs interact with each other to some degree. Needs are not necessarily linear, nor is the order of needs so rigid. The relative dominance of many needs is variable and is continuously shifting. For example, a self-actualized person may shift his priority to social needs and love needs instead of prestige and status, if suddenly there occurs a vacuum due to loss of a loved one. Similarly, a person may not go to the higher need, even when his lower needs are satisfied. It is also likely that a well-prepared elite person may decide to enter a commune where there is overwhelming emphasis on love and affection rather than climb the corporate ladder.

Maslow's theory made management aware that people are motivated by a wide variety of needs and that management must provide an opportunity for the employees to satisfy these needs through creating a physical and conceptual work environment, so that people will be motivated to do their best to achieve organizational goals.

The *first level needs* in the hierarchy, physiological needs can be satisfied through such organizational efforts and incentives as adequate wages and salary, acceptable working conditions in order to improve comfort and avoid fatigue, more leisure time and acceptable work environment in terms of lighting, ventilation, rest rooms, working space, heat and noise level. Some bonuses and other fringe benefits will be highly motivational.

The *second level needs* of safety and security can be satisfied through management's initiative to provide life insurance, medical insurance, job security, cost of living increments, pension plans, freedom to unionize, and employee protection against automation. The economic security to some degree is provided by law in the form of minimum wages, unemployment benefits, and welfare benefits. Similarly, unions protect employees against discrimination and indiscriminate firing.

Since first level physiological needs and second level security needs are primarily met by business, industrial, societal and legal environment, management must take steps to satisfy higher level needs and must establish as to which of these needs are the stronger sources of motivation.

When the *third level needs* of love and affiliation become motivators, then people find an opportunity in their work environment for establishing friendly interpersonal relationships. The management can satisfy these needs by:

- ✓ Providing opportunities for employees to interact socially with each other through coffee breaks, lunch facilities and recreational activities such as organized sports programs, company picnics and other social get together.
- ✓ Creating team spirit by keeping work groups informal wherever possible with friendly and supportive supervision.
- ✓ Conducting periodic meetings with all subordinates to discuss matters pertaining to personal achievements and contributions as well as organizational developments.

The *fourth level needs* of self-esteem involve a feeling of satisfaction and achievement and recognition for such achievement. The management can take the following steps to satisfy these needs:

- ✓ Design more challenging tasks and provide positive feedback on performance of employees.
- ✓ Give recognition and encouragement for performance and contribution and delegate additional authority to subordinates.
- ✓ Involve subordinates in goal setting and decision making processes.
- ✓ Provide adequate training and executive development programs to help employees successfully accomplish their goals and increase their competency on their jobs.
- ✓ Provide some of the symbols for status and respect, such as executive level job title, private secretary, privileged parking, promotion, company car, stock options and write-ups about achievements in the company newspapers.

The *fifth and top-level needs* of self-actualization long for growth and creativity and the management can take the following steps to satisfy these needs:

- ✓ The employees should be given an opportunity to shape their own jobs.
- ✓ Give employees the freedom of expression. This will open the channels of communication further and give the employees an opportunity to get involved.
- ✓ Encourage and develop creativity among employees. Creativity is tied in with freedom of expression and freedom of movement.

Maslow believed that from the point of organizational behaviour the management should strive to create an organizational climate which motivates employees at all levels of organizational hierarchy.

Research has established that top managers generally are more able to satisfy their higher level needs than lower level managers who have more routine jobs. Blue collar workers who have very little freedom over job operations may not even experience the higher level need.

2. ERG Theory

The ERG need theory, developed by Clayton Alderfer, is a refinement of Maslow's needs hierarchy. Instead of Maslow's five needs, ERG theory condenses these five needs into three needs.

These three needs are those of Existence, Relatedness and Growth. The E, R and G are the initials for these needs.

1) **Existence needs.** These needs are roughly comparable to the physiological and safety needs of Maslow's model and are satisfied primarily by material incentives. They include all physiological needs of Maslow's model and such safety needs which are satisfied by financial and physical conditions rather than interpersonal relations. These include the needs for sustenance, shelter and physical and psychological safety from threats to people's existence and well-being.

2) **Relatedness needs**. Relatedness needs roughly correspond to social and esteem needs in Maslow's hierarchy. These needs are satisfied by personal relationships and social interaction with others. It involves open communication and honest exchange of thoughts and feelings with other organizational members.

3) **Growth needs.** These are the needs to develop and grow and reach the full potential that a person is capable of reaching. They are similar to Maslow's self-actualization needs. These needs are fulfilled by strong personal involvement in the organizational environment and look for new opportunities and challenges.

A rough similarity between ERG theory and Maslow's theory is as follows:

<table>
<tr><th>MASLOW</th><th>ERG</th></tr>
<tr><td>Self-actualisation</td><td rowspan="2">Growth</td></tr>
<tr><td>Self-esteem (upper level)</td></tr>
<tr><td>Self-esteem (lower level)</td><td rowspan="2">Relatedness</td></tr>
<tr><td>Social</td></tr>
<tr><td>Safety</td><td rowspan="2">Existence</td></tr>
<tr><td>Physiological</td></tr>
</table>

ERG theory differs from Maslow's theory in proposing that people may be motivated by more than one kind of need at the same time. While Maslow proposes that in the hierarchy of needs, a person will satisfy the lower level needs before he moves up to the next level of needs and will stay at that need until it is satisfied, ERG theory suggests that if a person is frustrated in satisfying his needs at a given level, he will move back to the lower level needs. For example, assume that a manager's existence needs are fully satisfied and he looks for more challenging tasks to satisfy his self-esteem needs. If his efforts are frustrated in meeting these challenges, he will move back to existence needs and may ask for more material benefits.

3. McClelland's Theory of Needs

Since the lower level needs in Maslow's model are generally satisfied by the business, societal and legal systems, they are no longer strong motivators. Studies conducted by Harvard psychologist David Mcclelland concluded that from the organizational behaviour point of view, the most prominent need is the need for achievement, power and affiliation. The primary motive is the "achievement motive" and is defined as a "desire to succeed in competitive situations based upon an established or perceived standard of excellence."

Individuals with a strong "need for achievement" (known as n Ach), ask for, accept and perform well in challenging tasks which require creativity, ingenuity and hard work. They are constantly preoccupied with a desire for improvement and look for situations in which successful outcomes are directly correlated with their efforts so that they can claim credit for success. They take moderate and calculated risks and prefer to get quick and precise feedback on their performance. They set more difficult but achievable goals for themselves because success with easily achievable goals hardly provides a sense of achievement: They desire greater pleasure and excitement from solving a complex problem than from financial incentives or simple praise.

The "need for power" (n Pow) is the desire to affect and control the behaviour of other people and to manipulate the surroundings. Power motivation when applied positively results in successful managers and leaders who prefer democratic style of leadership. Power motivation, applied negatively tends to create arrogant autocratic leadership. The individuals who are high in "n Pow" are described by Litwin and Stringer as follows:

"They usually attempt to influence others directly--by making suggestions, by giving their opinions and evaluations and by trying to talk others into things. They seek positions of leadership in group activities; whether they become leaders or are seen only as "dominating individuals" depends on other attributes such as ability and sociability. They are usually verbally fluent, often talkative, and sometimes argumentative."

These individuals tend to be superior performers and show high degree of loyalty to the organization. They are more mature, with a strong sense of justice and equity and are willing to sacrifice their own self-interests for the sake of organizational interests.

The "need for affiliation" (n Aff) is related to social needs and reflects a desire for friendly and warm relationships with others. Individuals tend to seek affiliation with others who have similar beliefs, backgrounds and outlook on life. This results in the formation of informal groups and informal organizations. It is evident in social circles also that people mix with people of their own kind.

Individuals with high "n Aff" tend to get involved in jobs that require a high amount of interpersonal contacts and relations such as jobs in teaching and public relations. From organizational behaviour point of view, these individuals are highly motivated to perform better in situations where personal support and approval are tied to performance. They tend to avoid conflict and exhibit strong conformity to the wishes of their friends.

4. Herzberg's Two-Factor Theory

Fredrick Herzberg and his associates developed the two-factor theory in the late 1950s and early 1960s. 15 As part of a study of job satisfaction, Herzberg and his colleagues conducted in-depth interviews with over 200 engineers and accountants in the Pittsburgh area. The researchers felt that a person's relation to his work is a basic one and that his attitude towards work would determine his organization related behaviour. The respondents were required to describe in detail the type of environment in which they felt exceptionally good about their jobs and the type of environment in which they felt bad about their jobs. It seems natural to believe that people who are generally satisfied with their job will be more dedicated to their work and perform it well as compared to those people who are dissatisfied with their jobs. If the logic seems justified then it would be useful to isolate these factors and conditions that produce satisfaction with the job and those factors which produce dissatisfaction.

The basic questions that were asked in the survey were the following two:

a*) What is it about your job that you like? And*

b) What is it about your job that you dislike?

Based upon these answers it was concluded that there are certain characteristics or factors that tend to be consistently related to job satisfaction and there are other factors that are consistently related to job dissatisfaction. Herzberg named the factors that are related to job satisfaction as motivational factors, which are intrinsic in nature and factors related to job dissatisfaction as maintenance or hygiene factors which are extrinsic in nature. These factors are described in detail as follows.

1. Hygiene factors.

Hygiene factors do not motivate people. They simply prevent dissatisfaction and maintain status quo. They produce no growth but prevent loss. The absence of these factors leads to job dissatisfaction. The elimination of dissatisfaction does not mean satisfaction and these factors simply maintain a "zero level of motivation." For example, if a person indicated "low pay" as a cause of dissatisfaction that would not necessarily identify "high pay" as a cause of dissatisfaction.

- ➢ Wages, Salary and other types of employee benefits.
- ➢ Company policies and administration rules that govern the working environment
- ➢ Interpersonal relations with peers, supervisors and subordinates. Cordial relations with all will prevent frustration and dissatisfaction.
- ➢ Working conditions and job security. The job security may be in the form of tenure or it could be supported by a strong union.
- ➢ Supervisor's technical competence as well as the quality of his supervision. If the supervisor is knowledgeable about the work and is patient with his subordinates and explains and guides them well, the subordinates would not be dissatisfied in this respect.

All the hygiene factors are designed to avoid damage to efficiency or morale and these are not expected to stimulate positive growth.

The word "hygiene" is taken from the medical field, where it means taking steps to maintain your health but no necessarily improve it. For example brushing your teeth helps prevent cavities but does not improve the condition of your teeth. Similarly, hygiene factors in this theory of motivation prevent decay but do not encourage growth.

Hawthorne experiments were highly conclusive in suggesting that improvements in working conditions or increments in financial benefits do not contribute to motivated performance. A new plant or upgraded facilities at a plant seldom motivate workers if the workers do not enjoy their work and these physical facilities are not substitute for employee feelings of recognition and achievement.

2. Motivational Factors

These factors are related to the nature of work (job content) and are intrinsic to the job itself. These factors have a positive influence on morale, satisfaction, efficiency and higher productivity. Some of these factors are:

❖ ***The job itself***, to be motivated, people must like and enjoy their jobs. They become highly committed to goal achievement and do not mind working late hours in order to do what is to be done. Their morale is high as evidenced by lack of absenteeism and tardiness.

❖ ***Recognition***. Proper recognition of an employee's contribution by the management is highly morale boosting. It gives the workers a feeling of worth and self-esteem. It is human nature to be happy when appreciated. Thus, such recognition is highly motivational

❖ ***Achievement***. A goal achievement gives a great feeling of accomplishment. The goal must be challenging, requiring initiative and creativity. An assembly line worker finishing his routine work hardly gets the feeling of achievement. The opportunities must exist for the meaningful achievement, otherwise workers become sensitized to the environment and begin to find faults with it.

❖ ***Responsibility.*** It is an obligation on the part of the employee to carry out the assigned duties satisfactorily. The higher the level of these duties, the more responsibility the worker would feel and more motivated he would be. It is a good feeling to know that you are considered a person of integrity and intelligence to be given a higher responsibility. It is a motivational factor that helps growth.

❖ ***Growth and advancement.*** These factors are all interrelated and are positively related to motivation. Job promotions, higher responsibility, participation in central decision making and executive benefits are all signs of growth and advancement and add to dedication and commitment of employees.

The Herzberg's two-factor model is tied in with Maslow's basic model in that Maslow is helpful in identifying needs and Herzberg provides us with directions and incentives that tend to satisfy these needs. Also, the hygiene factors in Herzberg's model satisfy the first three levels of Maslow's model of physiological needs, security and safety needs and social needs and the motivational factors satisfy the last two higher level needs of esteem and self-actualization.

The primary condition of any motivation at any job is that the employee must like and enjoy his job. If the employees are highly dissatisfied with their jobs, their morale would be very low which would adversely affect their motivation. There are certain indicators that reflect job dissatisfaction.

These are: Employee unrest, excessive absenteeism and tardiness, excessive and short-term turnover, destructive union activity, desire of employee to retire early and so on. Management must continuously monitor the work environment to see signs of any of the above indicators and take necessary corrective action.

On the other hand, motivation is closely tied with job satisfaction so that management must take steps and offer privileges which would make the employees happy with their jobs. Some of these privileges and benefits include equitable wages and salaries, timely promotion, participative style of management, good working conditions, team spirit and so on.

While all these organisational and work related factors are important contributors and catalysts for motivational processes, the most important factor is the person himself. His own attitude towards life in general would determine his attitude towards his job. People with generally negative attitudes about life and pessimists always complain about everything including the job. Accordingly, in addition to providing a health work environment, management must ensure that the employee is happy with himself and has a positive outlook on life.

Reference

Chandan, J.S., Organizational Behaviour. Vikas Publishing House PVT LTD 1994
Statt, D.A. Using Psychology in Management Training, Taylor and Francis Inc.2000

SLIDES

Motivation

Sources of Motivation

(i) Positive motivation

(ii) Negative or Fear motivation

(iii) Extrinsic motivation

(iv) Intrinsic motivation

Theories of Motivation: Maslow's Needs Hirerchy

Other theories

- ERG Theory
- McClelland's Theory of Needs
- Herzberg's Two-Factor Theory
  - Hygiene factors
  - Motivational factors

Day III (Afternoon) Stress Management

Session-at-a-Glance

Session Plan	Session Structure	Teaching Methods	Time
Learning Objective: To familiarise the participants with knowledge regarding the various causes of stress, identifying stress, type of stress and apply various stress management strategies. **Resources required:** • Projector and computer • Flipcharts, marker pens • PowerPoint Slides • Yoga mats	Introduction, Understanding Stress, Causes, Managing Stress	Questionnaire: Identifying symptoms of Stress. Group discussion Lecture Videos 1 to 5 Yoga (pamphlet distribution)	10 min 10 min 30 min 70 min 30 min
			150

Instructor Guide

Provide the participants with ***Questionnaire: Identifying symptoms of Stress*** and ask them if they have suffered from one or more of these symptoms.

Have short group discussion asking the participants what they think about Stress, why do they feel stressful and what they think they may do to manage their own stress levels.

Give lecture showing slides.

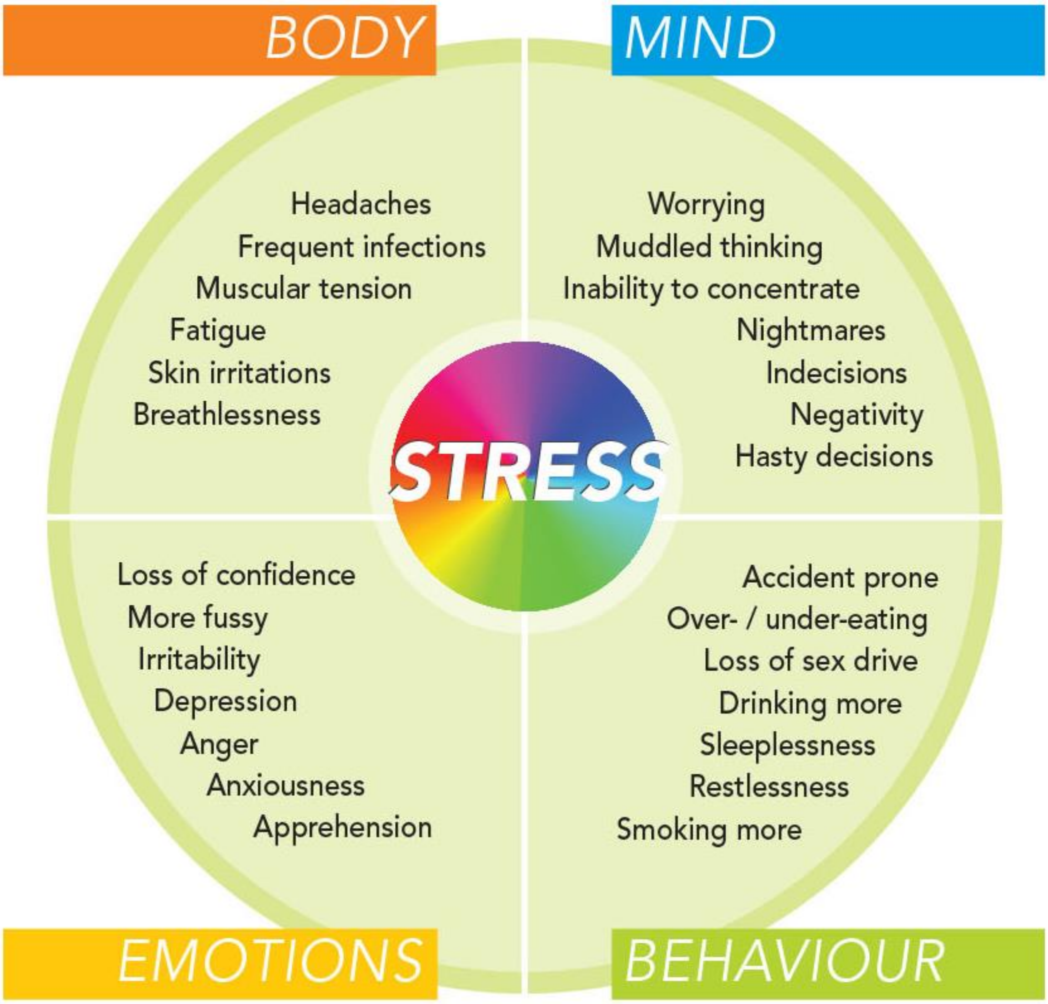
Show videos:

1. Kelly McGonigal: How to make stress your friend
2. Andy Puddicombe: All it takes is 10 mindful minutes
3. Richard Weller: Could the sun be good for your heart?
4. Daniel Levitin: How to stay calm when you know you'll be stressed
5. Pico Iyer: The art of stillness

One of the best stress buster are the Yoga. The facilitator might consider practicing some yoga with the participants including by substituting some of the videos. However, practicing yoga will require some additional resource like Yoga mat, a well-ventilated room that large enough for doing the yoga and finally competency of the facilitator as yoga practitioner. However, the participants may be encouraged to do Yoga daily on their own time. The pamphlets may be distributed.

There are five additional videos which may be provided to the participants to view on their own time, at home.

QUESTIONNAIRE: Identifying symptoms of Stress



Ask the participants to mark all symptoms of Stress that they may have endured from time to time.

SLIDES

STRESS MANAGEMENT

Understanding Stress

- Stress Defined
- The Cost of Stress
- Stress and the Individual
- General Adaptation Syndrome?
- Distress and Eustress
- Individual Differences

SOURCES OF JOB STRESS

- Job characteristics
  - Role Ambiguity
  - Role Conflict
  - Role Overload
  - Role Underload
- Interpersonal Relationships
  - Amount of Contact with Others
  - Amount of Contact with people in other Department
  - Organisational Climate
- Personal Factors

CONSEQUENCES OF JOB STRESS

- Physical Health
- Psychological
- Performance
- Decision Making

COPING WITH JOB STRESS

- Work-Focused Coping Strategies
  - Role Clarification
  - Time Management
  - Delegation
  - Search for More Information and Direct Task Help
  - Co-operative work Strategies
  - Departure from the job
- Emotion Focussed Coping Strategies
  - Reduced Perfectionism
  - Increased Social Support
  - Increased Tolerance of Ambiguity
  - Relaxation Techniques
  - Health Maintenance
- Organizational Programmes to Manage Stress

Material for both the course facilitator and the participants

STRESS MANAGEMENT

INTRODUCTION

Many people think they understand stress. In reality, however, stress is complex and often misunderstood. To learn how job stress truly works, we must first define it and then relate it to the individual in the workplace.

Stress Defined

Although stress has been defined in many ways, a common ground of most definitions is that stress is caused by a stimulus, that the stimulus can be either physical or psychological and that individual respond to the stimulus in some way. Here, then we define stress as a person's adaptive response to a stimulus that places excessive psychological or physical demands on that person.

Let us look at each component of this definition. First is the notion of adaptation. As we discuss shortly, people adapt to stressful circumstances in any of several different ways. Second is the role of the stimulus. This stimulus is generally called a stressor. That is, a stressor is anything that induces stress. The definition also notes that stressors can be either psychological or physical. Finally, the demands placed on the individual by the stressor must be excessive for stress to result. Of course, what is excessive for one person may be perfectly tolerable for another.

The Cost of Stress

The human cost is severe. In America, the estimated annual cost to industry of combined absence from work, health charges, increased insurance and diminished productivity, is thought to run close to $75 billion. The cost of stress related coronary heart disease alone is about $30 billion. In Britain, at least 40 million working days are lost each year due to the effects of stress and it is estimated that stress related illness costs the medical and social services an average of 55 million pound per year, accounting for loss of 2-3 per cent in the gross national product.

Stress and the Individual

Much of what we know about stress today can be traced to the pioneering work of Dr. Hans Selye identified what he called general adaptation syndrome and the notions of eustress and distress.

General Adaptation Syndrome?

According to this view, we each have a normal level of resistance to stressful events. Some of us can tolerate a great deal of stress, while others can handle much less, but everyone has a basic threshold at which stress starts to affect us.

The GAS begins when a person first encounters a stressor. The first stage is called alarm. At this point, the person may feel some degree of panic, may wonder how to cope, and so forth. For example, suppose a manager is assigned a lengthy report to write overnight. His first reaction may be, "How will I ever get this done by tomorrow?"

If the stressor is too extreme, the person may simply be unable to cope with it at first. In most cases, however, the individual gathers his or her strength (physical or emotional) and resists the negative effects of the stressor. For example, the manager with the long report to write may calm down, call home to say he's working late, role up his sleeves, order out for dinner, and set to work. Thus, at stage 2 of the GAS, the person is resisting the effects of the stressor.

In many cases, the resistance phase may end the GAS. If, for example, the manager is able to complete the report earlier than expected, he may drop it in his briefcase, smile to himself, and reach home tired but happy. On the other hand, prolonged exposure to a stressor, without resolution, may bring on phase 3 of the GAS i.e exhaustion.

At this stage, the person literally gives up and can no longer fight the stressor. The manager, for example, might fall asleep at his desk at 3.00 a.m and not get the report finished.

Distress and Eustress

Selye also pointed out that the effects of all stress need not be detrimental. For example, receiving a bonus and then having to decide what to do with the money can be stressful. So, too can getting a promotion, gaining recognition, getting married, and similar "good" things. Selye called this type of stress eustress.

Of course, there is also negative stress. Called distress, this is what most people think of when they hear the word stress. Excessive pressure, unreasonable demands on our time, bad news, so on and so forth, all fall in to this category.

For purposes of simplicity, we will continue to use the simple term stress. It is important to remember throughout the discussion, though, that stressor can be either positive or negative. It can motivate and stimulate us, or it can lead to any number of dangerous side effects.

INDIVIDUAL DIFFERENCES

It is also important to note the effects of individual differences on stress. We have already noted, for example, that people differ in their normal levels of resistance to stressors.

Cultural differences are also important. For example, as detailed more fully in international Perspective research by Cary Cooper suggests that American executives may have less stress than executives in many other countries, including Japan and Brazil.

Other research suggests that women are perhaps more prone to experience the psychological effects of stress, whereas men may report more physical effects. Finally, it has also been suggested that people who see themselves as being very complex are better able to handle stress than are people who have a simpler view of themselves. We should add, though, that the study of individual differences in stress is still in its infancy; it would be premature to draw rigid conclusions about how different types of people handled stress.

SOURCES OF JOB STRESS

Individuals will experience stress when they face new or threatening factors in their work environments. While individuals will vary, of course, in what they experience as stressful there are some aspects of work that systematically create job stress for employees.

One major source of job stress is the job itself. The way the job is designed, the amount of time pressure an individual faces, and the expectations others have of a person at work can all lead to job stress.

Interpersonal relationships are a second source of job stress. How much contact an individual has with co-workers and bosses, how much time he or she deals with clients or consumers, and how pleasant in personal lives can spill over into the work environment, adding further tension to an already stressful work situation.

1) Job characteristics

A major source of job stress is a person's role in the organisation. A role is simply the set of expectations that other people in the organisation have an individual in his or her job. Supervisors, co-workers, customers, suppliers, and inspectors all of these people expect an individual to behave in certain predictable ways. Often, the expectations others have of an employee are unclear, in conflict, or too high for the employee to meet within the time allotted, and he or she experiences stress.

a) Role Ambiguity

In order for people to perform their jobs well in organisations, they need to know their job objectives, what they are expected to do and not do, and what the scope and responsibilities of their jobs are. When there is a lot of uncertainty surrounding job definitions or job expectations, people experience role ambiguity.

With the recent increase in mergers and acquisitions among major corporations, for instance, more and more employees are often unsure who is to perform which job duties. Employees wonder if they are duplicating other people's work, and are uncertain about whom they should be reporting their problems to. All this role ambiguity is anxiety-arousing to employees, and they consequently experience job stress.

b) Role Conflict

Often employees discover that different groups of people in an organisation have widely varying expectations of them and that they cannot meet all these expectations. This inconsistency of expectations associated with a role is called role conflict. There are two general types of role conflict in organisations.

The first type is intersender role conflict: two different groups have expectations of an individual that are incompatible or inconsistent. For example, admissions of clerks in hospitals are expected by public relations officers to be pleasant, sympathetic and helpful to incoming patients and their families but are also expected by the comptroller's office to get detailed insurance and financial information. It is difficult for admissions clerks to achieve both goals simultaneously.

The second type is intrasender role conflict: One group has incompatible or inconsistent expectations of another. The plight of air traffic controllers is a good illustration of such conflict. Air traffic controllers are under order from the Federal Aviation Administration to properly space all air craft traffic. Nevertheless, control tower supervisors encourage air traffic controllers to ignore some of these regulations because aircraft traffic would get too heavy if all rules were followed to their letter. However, if a near-miss or an error occurs, the controllers are disciplined by these same supervisors for not following the regulations. Air traffic controllers are receiving inconsistent messages from their bosses (ignore regulations; follow regulations) and experience tremendous stress as a result. In one year alone at Chicago's O'Hare Airport, seven controllers experienced such acute hypertension that they had to be carried out of the control tower on a stretcher.

c) Role Overload

Role Overload is a situation in which employees feel they are being asked to do more than time or ability permits. Working under time pressure is especially stressful. People are anxious when they have a lot to do before some deadline; as time runs out, a feeling of impending disaster increases.

Two particularly interesting studies have been conducted on the impact of role overload on job stress.

One study was done with tax accountants approaching the April 15 tax deadline, the other was done with medical students before an impending examination. In both studies, physiological symptoms of stress increased dramatically prior to the time deadline, and decreased sharply after the deadline had passed. The general adaptation syndrome does activate itself as the threat of time deadlines draws near and the body returns to equilibrium after the threat is over.

d) Role Underload

Most frequently, employees experience stress from having to respond to the role expectations of too many people. For some jobs and some workers, though stress comes from role underload. Role underload is the condition in which employees have too little work to do too little variety in their work. Salespeople in a store with no customers, sanding around all day with nothing to do could be said to experience role underload.

Assembly line workers also generally experience role underload; rarely do they perform more than one or two tasks day after day.

Ironically, role underload can lead to many of the same problems as role overload; low self-esteem; increased frequency of nervous symptoms and complaints; increased health problems. One of the most disturbing outcomes of role underload is passivity. Workers with role underload report they feel both physically and psychologically weary; even when they are not at work, they do not show much interest in social activity or physical exercise.

2) Interpersonal Relationships

A second major source of stress in organisations is poor interpersonal relationships with others, namely supervisors, coworkers or clients. When interpersonal relationships at work are unpleasant, employees develop a generalisd anxiety, a diffuse feeling of dread about upcoming meetings and interactions. Three aspects of interpersonal relationships at work, in particular, have a negative impact on job stress.

a) amount of contact with others

b) amount of contact with people in other departments

c) organisational climate

a) Amount of Contact with Others

Jobs vary in terms of how much interpersonal contact is built into them. Some job, like security guard or research scientist, involve relatively little interactions with others. In contrast, jobs like administrative assistant or waitress require constant human interaction. While most of these interactions proceed smoothly, over time people become burned out and a feel a need for privacy. Too much prolonged contact with other people can cause stress.

This stress is exacerbated when the people we come into contact with are in distress themselves. For this reasons, employees in the "helping professions" - health care, social service, education and law-report the highest levels of stress. The client's stress rubs off on people who are acting in the helping capacity. It is ironic that doctors have the highest rate of alcoholism of any of the professions and that psychiatrists have the highest rate of suicide.

b) Amount of Contact with people in other Department

Having contacts with people outside one's own departments creates a special sort of stress. People in other departments do not always have an adequate understanding of jobs outside their own areas. As a result they are more likely to make requests that cannot be honoured or set deadlines that cannot be met.

In hospitals, for example, employees in service departments like X-ray and pharmacy report high amounts of stress. The X-ray technicians and pharmacists report that doctors and nurses from the medical and surgical units make unreasonable demands on them and set very unrealistic deadlines for their services. Two X-ray technicians on call all night, for instance, cannot respond to all calls for service quickly when always has to be on duty in the emergency room.

c) Organisational Climate

Finally, the overall psychological climate of the organisation can create stress, when day-to-day life in an organisation is marked by unfriendly distant, or hostile exchange, employees are continually tense. They have little trust in each other and do not express their true concerns and desires. They are unsupportive of each other and spend little time helping each other with problems.

3) Personal Factors

Frequently, employees' personal lives have a marked effect on their lives at work. If things are going well personally, they are more likely to be upbeat and optimistic. They have more energy and patience for dealing with problems at work. On the other hand, if employees are having some personal problems, they might be more tense or distracted when they go to work. Little problems at work make them angry and irritable. Their nerves may already be a little frayed; it takes less to get them upset.

Three factor in particular, influence how much stress people bring from their personal lives to the work setting: 1) their career concerns 2) their geographical mobility and 3) the rate of change in their personal lives.

One major career concern that can cause stress is lack of job security. With the exception of some unionised employees, very few workers in America have job security and in recessions, even those employees enjoy few guarantees. Even top-level managers can lose their jobs on short notice. When the economy worsens or the profits of the firm go flat, people become especially worried about how they could support themselves if they lost their jobs.

CONSEQUENCES OF JOB STRESS

(1) Physical Health

Job stress has a substantially negative impact on physical health. First, job stress increases the frequency of minor physical ailments. People who are experiencing stress are more likely to have headaches, stomach-aches, backaches, and chest pains.

Second, job stress has a major impact on contributory factors to major illnesses. People under stress are more likely to have a quickened heartbeat and greater difficulty breathing.

Blood pressure rises with stress, as do cholesterol levels. All of these factors make the body more susceptible to major illnesses like heart disease.

Indeed, the research quite strongly suggests that people who undergo prolonged periods of stress are more likely to suffer more major physical illnesses. In particular, stress is a major contributor to ulcers, arthritis, drug and alcohol abuse, and heart disease. Some researchers suggest that managers with high levels of stress may be twice as prone to heart disease, five times as prone to a second heart attack, and twice as prone to fatal heart attacks as low-stress managers.

Finally, and not surprisingly in light of the evidence presented above, job stress influences longevity.

There is strong evidence that job stress shortens one's life. Job Stress not only makes bodies more susceptible to major illnesses, but also contributes directly to life-threatening diseases.

Even the courts have been making worker compensation awards on the basis of stress-induced disabilities. Courts have rules that in stress cases, "the central consideration isn't the actual work environment, but how the employee reacts to it." Employers can be held liable if the illness has been "aggravated, accelerated, precipitated, or triggered" by the conditions of the job.

(2) Psychological

Stress has a marked impact on mental as well as physical health. Probably the most noticeable impact job stress has on people psychologically is that it increases their anxiety. Anxiety is a vague sense of apprehension and foreboding. People may not know exactly how to put their finger on what's bothering them, but they feel vulnerable to people and events in their work environments. They worry more about how they will deal with potential threats that may not even materialize.

Stress also increases frustration. When people are blocked from behaving the way they would like to behave or from getting what they want, they are said to be frustrated. When people get passed over for a promotion, for instance, they feel frustrated. They can't do the job they want, and they can't obtain the status and rewards they desire. There are several ways in which individuals respond to frustration.

One response to frustration is passivity. If a person constantly fails at a job despite increased efforts, or keeps on getting the bad breaks, he or she is likely to give up or become disinterested. When you read in the newspapers about unemployment among those "actively seeking employment," for instance, these figures exclude those workers who have not looked for a job in six months. These workers are so frustrated by constant rejection that they have withdrawn from the work force and have stopped looking for work altogether.

Another response to frustration is aggression. Aggressive employees strike out at those around them. If employees feel aggressive toward their supervisors and co-workers, they may snipe at them in meetings. They may become irritable, losing their temper over relatively unimportant matters. They may become more negative, finding fault with everyone and everything.

A third response to frustration is depression. When people are frustrated at work, they often become sad. They may become pessimistic and lose their self-confidence and self-esteem. Individuals may start to avoid social contacts and feel lonelier. For instance, sometimes people will become depressed if they do not win some special award or recognition they had hoped for. They blame themselves for their failure and feel helpless to control events around them.

Most people have suffered from acute depression occasionally. Individuals may be really depressed after getting poor performance evaluations, or getting job rejection letters, or breaking up a marriage.

Generally, after a short while, they are like their “old selves” again, with confidence renewed. However, if the depression does not self-correct and becomes chronic, more serious problems can ensue.”

A fourth response to frustration, although much rarer, is suicide. For a variety of reasons, an individual may feel unable to cope with all the negative aspects of his or her life and decide to end it. Unfortunately, the occurrence of suicide has increased over the past decade, particularly among executives.

(3) Performance

Stress may also have a negative impact on individual performance. Stress can lead to increased turnover and absenteeism, for instance. Turnover and absenteeism allow workers to withdraw from unpleasant environments. In addition, stress has been frequently associated with industrial sabotage. Workers sometimes create mechanical failures on the assembly line to give themselves a break from the monotony and stain of their work. Job stress also has an impact on individual productivity.

(4) Decision Making

Stress also impedes effective decision-making. When people are feeling stress, they are more likely to procrastinate and to avoid having to make decisions. They have more trouble concentrating and often forget important pieces of information. They are less likely to seek out new information that could help them make better decisions. As a result, the quality of the decisions they make suffers.

For example, when individuals are trying to decide which job offers to accept, they frequently feel stress. While there are several good opportunities that lie ahead, there is also much uncertainty about what these jobs are really like. The costs of a wrong decision can be high. Moreover, often these decisions have to be made within a few days' time. As a result of this stress, many people delay making the decision until the last moment; they keep on trying to put it out of their minds. They have trouble concentrating on the information they already have, and feel too distracted to search out additional data on their options. As a result, individuals often make bad job decisions when they are operating under high stress.

COPING WITH JOB STRESS

As we have pointed out before, it is not true that employees do not want any stress at work. Indeed, there is substantial evidence that employees are energized and motivated by moderate amounts of stress.

However, most people want to reduce their stress to the point where they feel they have some control over what is going on around them.

In this, section, we will be looking at a variety of ways in which individuals cope, or deal, with stress at work. The first set of these coping strategies are work-focused. Employees can decrease stress by directly changing their own work habits or the work environments they are in. The second set of these coping strategies are emotion-focused. These strategies do not directly change the work environment per se, but rather help employees adjust to the stress more easily.

(1) Work-Focused Coping Strategies

Role Clarification

Probably the most direct way in which individuals can cope with stress is by trying to clarify or change the role expectations of others. If employees feel their job assignments are unclear, they can ask their supervisors for clarification of what is expected. If they feel that they are getting conflicting signals from their managers (for instance, "I don't care how you get this done, just get it done" but "Don't step on any toes") they can confront their managers about the loose-loose situations they find themselves in. One overlooked coping strategy in this area is changing the constraints put upon a job assignment. If a job is due in two days and there is no way it can be accomplished even by working twelve-hour days, it is rational to ask for more time or help when the assignment is initially given.

Time Management

Another way of coping with stress is to manage time more effectively. People can learn to get better organized so that they can do their work more efficiently and fritter away less time needlessly. For example, managers often waste time by answering all calls and letters as they come in. Instead, they could put off unimportant activities until slack periods and try to do their most important work in the morning when they are feeling fresh.

Delegation

A third way of coping with job stress is to delegate some responsibilities to others. Managers can let subordinates gather some of the data they need, or represent them at some meetings. Secretaries can take care of many of the bureaucratic details managers don't need to attend to personally. Delegation can directly decrease work demands put upon the manager-and often the tasks the manager delegates to subordinates are seen as challenging by those who receive them.

Search for More Information and Direct Task Help

Some employees may think it is a sign of weakness to ask for more information or some initial assistance when given an unfamiliar task. It is not uncommon, for instance, to see new employees work three times longer on a job than necessary rather than admit they are not sure what they are doing. It is much more efficient, effective and anxiety-reducing to get some help before getting lost.

Co-operative work Strategies

Sometimes an effective way of dealing with too much work is to co-operate with other people in the same situation. For instance, in preparing major reports, dividing the work and sharing information can help employees complete their projects faster and with much less effort. People worry, of course, that they will be taken advantage of they will work hard, but others will not. However, more often than not, people will realize it is in their own best interest to share the load and will co-operate enthusiastically.

Departure from the job

Finally, it is important to note that sometimes the stress on a job is too great, and that not much can be done to relieve it. The organization may be greatly understaffed, and the person greatly overworked. An employee might be in a job for which he or she is simply not well trained. Whatever the reason, it is not a sign of weakness to leave a job before one gets physically sick or emotionally depressed.

(2) Emotion Focussed Coping Strategies

Reduced Perfectionism

One of the biggest sources of stress in people's lives is the attempt to live up to the impossible standards they set for themselves. People expect themselves to perform consistently at high levels, even when they are trying to get too much done in too little time. They expect themselves to be efficient "machines" at work even when they are ill or pre-occupied with personal problems. Sometimes a good way of dealing with stress is to accept less than one's very best every once in a while. Not that people should become lazy or lackadaisical, but rather they should realize that not every performance can be stellar, and the world will not stop turning if they are not perfect every time.

Employees also have fantasies about what the perfect job or perfect manager would be like. They imagine there are saintly, compassionate, competent supervisors out in the world and they feel ill-used because they don't have them. However, their managers have the same stresses they have, probably nor, an expecting ideal behaviour from them inevitably leads to disappointment. There is no perfect boss and there not perfect job. Learning to live with a little less is not compromising standards. It is dealing with the job more realistically.

Increased Social Support

A very effective way of coping with job stress is to seek out social support from others. When people feel stressed, it helps to have friends and colleagues who are supportive. Friends can provide an outlet for blowing off steam; they can support lagging self-confidence or self-esteem; they can be confided in about personal and work-related problems.

Increased Tolerance of Ambiguity

Throughout school, most people receive clear homework assignments, objective tests, and frequent feedback. The work world is not like that. Most of the problems managers work on are ill-defined: little feedback is received; the criteria for success are much fuzzier. Certainly it makes sense to try to reduce role ambiguity wherever possible. However, employees can never obtain the role clarity they had as students, and they might be better off becoming more tolerant of ambiguity.

Relaxation Techniques

Relaxation techniques are another type of emotion-focused coping device. When individuals can't change the stressful work situation, they can sometimes cope with it more effectively if they are claimer.

Some researchers have found that people experience a "relaxation response" if: (1) they are in a quiet environment' (2) they close their eyes; (3) they get into a comfortable position; and (4) they keep on repeating a simple sound to block out work-related thoughts. While the research in this area is still relatively new and sketchy, there is some evidence that such a "relaxation response" can decrease muscle tension, heart rate, blood pressure, and rate of breathing.

Health Maintenance

Researchers in the area of job stress have advocated increased health maintenance for those in high stress jobs. Proper diet, proper exercise, and enough sleep can keep he body in better shape for dealing with stress. When employees are tired and run down, they are much more likely to let their jobs get on their nerves.

They eat too much junk food, drink coffee to keep them going and consider walking to the vending machine as sufficient exercise. People are much more likely to get physically sick or emotionally depressed if they are out of shape, over tired, or poorly nourished.

3) Organizational Programmes to Manage Stress

Before concluding this chapter, we also want to look briefly at some programmes organisations are using to help their employees better deal with stress. While a wide variety of stress programmes have been experimented with, three types of programmes have become the most widespread.

Probably the most frequently used organisational stress management programme is health maintenance. The Sun Valley Health Institute in Idaho, for instance, runs four-days programmes that not only monitor employees' current health, but also emphasize to participants what changes are needed in their diets and exercise routines. Many companies, such as Xerox, Kinberly Clark, Weyerhaeuser, Pepsi-Cola and Rockwell International, have invested large sums of money in gym facilities staffed with full time physical education and health care personnel.

Another type of stress management programme that organisations are experimenting with is Supervisor training. For instance, organisations like American Express have systematically trained managers to be more effective in delegating, authority and including subordinates in decisions that affect their work assignments and workloads. Other organisations, such as First Union National Bank of North Carolina, have used leadership training to teach managers better counselling skills. Central to many of these supervisory training programmes is an emphasis on preventing job stress. Managers are trained to give better performance appraisals to listen to employees' problems more effectively and to communicate job assignments and instructions more clearly.

Third, some organisations have also sponsored individual stress reduction workshops for their employees. These programmes have run the gamut from bio-feedback, sensitivity groups, and transcendental meditation to career counselling, time management, and interpersonal skills workshops, Kaiser-Permanent a health maintenance organisations to California; runs a four-day stress management programme for its staff. In lecturers and seminars, participants are given a basic understanding of the causes of stress and its consequences for their well-being. Then, participants are given materials to help them identify the major sources of stress in their own lives, and some strategies for dealing with that stress more effectively.

The future of such stress management programmes, ironically, it itself uncertain. In recent years, a thriving industry has sprouted to teach corporations and their employees at rates as high as $ 2,700 per person how to deal with stress. Unfortunately, some charlatans have been drawn to the area, casting doubt upon the many good stress programmes also available. One company active in stress management, Drilcota Texas tool manufacturer, has discontinued its programme because if found that much of the stress of its employees was personal, and better handled outside the company. IBM, a company otherwise noted for its generous employee policies, has no psychological counselling programme for employees, labelling such programmes "deadly paternalism".

In the final analysis, then, the management of stress lies by necessity with the individual. Even if organisations continue to remain active in stress management programmes, ultimately it is the individual who has to be responsible for him or her own well-being.

Reference

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Day IV (Forenoon) Time Management

Session-at-a-Glance

Session Plan	Session Structure	Teaching Methods	Time
Learning Objective: To impart relevant knowledge, sharpen the requisite skills and orient attitudes of participants so that they become more efficient with regard to the management of time. **Resources required:** • Projector and computer • Flipcharts, marker pens • PowerPoint Slides • As part of this course, the participants may be given a work planner/diary.	Time as a Resource Identify Important Time Wasters Individual Time Management Styles Techniques for better Time Management.	Lecture: slide 1 Assessing own cost of time. Lecture: slide 2&3 Questionnaire 1 and 2 Lecture: slide 6,7 & 8 Distribute materials on time management matrix, 6 D Lecture: slide 9, 10,11&12 Distribute "how to get an extra hour" and "Time-Wasters Causes & Solutions"	
			150 min

Instructor Guide

Developing time sensitivity among participants should be attempted or rather achieved during the introductory lecture itself. Participants should be made aware of the uniqueness of time as the only resource equally distributed among people. The following characteristics about time also will have to be highlighted.

(i) non-irretrievability

(ii) non-reservability

(iii) irreplaceability

(iv) irreversibility

The lectures and the group exercises will proceed hand-in-hand. The facilitator will be required to distribute materials and exercises as the class progresses.

Estimating cost of participants' time may be done using the pro-forma suggested. Enumeration of the causes of time mismanagement should basically be an outcome of discussion during which participants should be encouraged to generate ideas.

Participants should be made to distinguish between hard work and smart work citing examples from their own lives or situations familiar to them.

Identification of individual time management styles can also be done using the relevant **questionnaire 1 and 2** which will help classifying people in to the following 8 groups.

1. Balanced time managers
2. Those who do their things well
3. Those who do others things well
4. Those with good intentions but no productivity
5. Unrealistic dreamers
6. Those who are on a tread mill
7. Delightful but incompetent persons
8. Persons neither delightful nor competent

The concept of **time management matrix** should be an eye opener to everyone.

The characteristics of, and differences between, the quadrant of quality and the quadrant of deception should be made clear to all concerned. The participants should be urged to become quadrant II (quality) oriented. Use of the pro-forma Time Cheaters and Beaters can be expected to make participants aware of the time cheaters which affect them and the corresponding time beaters they can use to deal with them.

Slides

Understanding Time Management

"We all have time to either spend or waste and it is our decision what to do with it. But once passed, it is gone forever."
- BRUCE LEE ("ZEN IN THE MARTIAL ARTS" BY JOE HYAMS)

Saboteur Time Styles

- **The Firemen**
- **The Over-Committers**
- **The Aquarians**
- **The Chatty Kathys**
- **The Perfectionists**

Misconceptions about Time

- Time management is simple - all it requires is common sense
- Work is best performed under pressure
- I use a diary, a to-do list and have a secretary to keep me organized
- I do not have the time
- Time management might be good for some kinds of work but my job is creative
- Time management takes away the fun and freedom of spontaneity

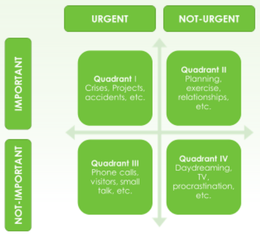
The 'Five Time Zone' Concept

- **Developing Zone 1 - Vision and Goals**
- **Developing Zone 2 - Plans**
- **Developing Zone 3 – Personal Organization Systems (POS)**
- **Developing Zone 4 – Commitment**
- **Developing Zone 5 – Energy**

Symptoms of Poor Time Management

- **Constant rushing** (e.g. between meetings or tasks)
- **Frequent delays** (e.g. in attending meetings, meeting deadlines)
- **Low productivity, energy and motivation** (e.g. 'I can't seem to get worked up about anything')
- **Frustration** (e.g. 'Oh, things just don't move ahead)
- **Impatience** (e.g. 'where the hell is that information I've asked him for?')
- **Chronic vacillation between alternatives** (e.g. 'whichever option I choose it is going to put me at a big disadvantage. I don't know which way to jump')
- **Difficulty setting and achieving goals** (e.g. 'I'm not sure what is expected of me')

Time Management Matrix



The Eleven Time Thieves

- **Poor Planning**
- **Crisis Management**
- **Procrastination**
- **Interruptions**
- **Not Delegating**
- **Unnecessary Meetings**
- **The "shuffling blues"**
- **Poor Physical Setup**
- **Poor Networking**
- **Bad Attitude**
- **Negative People**

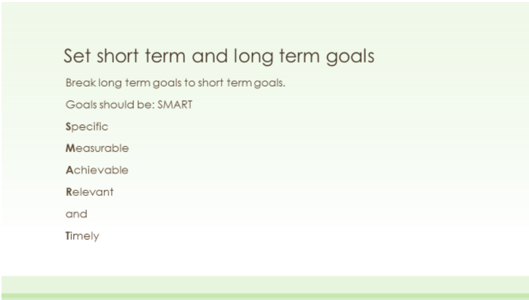
Getting oriented to manage time

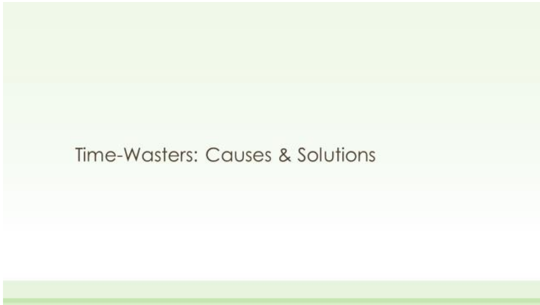
How much time do your spend each day on the following time stealers?

- Watching TV
- Reading Newspapers / Magazines excessively
- Idle chat, gossip and telephonic talk
- Opening and sorting mail
- Returning telephone calls
- Meetings
- Paying bills
- Day-dreaming
- Fretting over personal problems
- Caught in traffic snarls
- Planning how to change things
- Waiting for things to happen
- Taking naps
- Eating snacks between meals
- Drinking
- Smoking
- Shopping

Overcoming Barriers to Effective Time Management

a. Telephone Interruptions
b. Drop-in Visitors
c. Meetings
d. Lack of Priorities
e. Personal Disorganization
f. Ineffective Delegation
g. Attempting too much
h. Unclear Communication
i. Inadequate, Inaccurate or Delayed Information
j. Indecision/ Procrastination
k. Confused Authority / Responsibility
l. Inability to say 'No'
m. Leaving tasks unfinished
n. Lack of Self-Discipline


Set short term and long term goals
Break long term goals to short term goals.
Goals should be: SMART
Specific
Measurable
Achievable
Relevant
and
Timely


Time-Wasters: Causes & Solutions

LECTURE MATERIALs

(May be distributed to participants at the end of the class)

Understanding Time Management

"We all have time to either spend or waste and it is our decision what to do with it. But once passed, it is gone forever."

- Bruce Lee ("Zen in the Martial Arts" by Joe Hyams)

Every individual on earth has the same amount of time - 60 seconds in a minute; 60 minutes in an hour; 1,440 minutes in a day; and 525,600 minutes in a year. While a vast majority of people confesses faltering to come to grips with it, extremely few can claim to have made the most of it. How is it that they have got it all done? It's because they have managed a way to figure out how to manage their time effectively.

Time Management is more than just managing time. It is about controlling the use of the most valuable - and undervalued - resource. It is managing oneself in relation to time. It is setting priorities and taking charge of the situation and time utilization. It means changing those habits or activities that cause waste of time. It is being willing to adopt habits and methods to make maximum use of time.

With good time management skills one is in control of one's time, stress and energy levels. One can maintain balance between one's work and personal life. One finds enough flexibility to respond to surprises or new opportunities. It is not how much time one has, but rather the way one uses it. The bottom line is how well one manages time.

Internationally known authority on time management Dr. Alec Mackenzie in his book The Time Trap argues that the very idea of time management is a misnomer because one really cannot manage time in the way other resources can be managed: financial capital, physical capital, human capital, information and time. While each of the first four can be augmented, reduced, transferred or otherwise controlled, Time cannot be manipulated. Dr. Mackenzie contends that when it comes to time, one can only manage oneself in relation to it. One cannot control time as one can control other resources – one can only control how one uses it. In the world in which we live, time cannot be replaced or re-created. It is therefore not for us to choose whether we spend or save time but to choose only how we spend it.

Misconceptions about Time

There are several misconceptions which we all have about time. They affect everyone including those persons who may be considered quite successful and effective. Here are some of the misconceptions identified by Dr. Mackenzie:

· **Time management is simple - all it requires is common sense.** While it is true that the concept is simple, the self-discipline required to practice effective time management is not easy.

· **Work is best performed under pressure.** Psychological studies show this to be no more than an excuse for procrastination. One does not work well under pressure - only does the best one can under the circumstances. Pressure and challenge must not be confused. Lara's performance when the West Indies Team is in trouble has more to do with application and determination rather than pressure.

· **I use a diary, a to-do list and have a secretary to keep me organized.** One has to keep oneself organized - no one can do it for others. The trouble with the disorganized person is that he hardly has time to listen to his secretary or look at his diary.

· **I do not have the time.** The effective worker or manager often gets more work done in the earlier hours of the morning than most laggards get done in the whole day. He then no longer has to work against tight deadlines and under stress which contributes to heart problems and not unusually the ultimate reduction of time on this earth.

· **Time management might be good for some kinds of work but my job is creative**. Time management is not about routine: it is about self-discipline. Lack of discipline prevents one from being great instead of simply good.

· **Time management takes away the fun and freedom of spontaneity.** Is working under stress, forgetting appointments, making constant excuses and apologies to be fun? Would it not be much more fun if by better organization one had one or two more hours every day to spend with the family, to play games, read a good book, plan for tomorrow and the day and week after or just relax?

Symptoms of Poor Time Management

Poor time management shows up by way of one or a combination of typical perceptible symptoms. Managers would do well to look for and reflect on whether they are subject to any of those symptoms with a view to take necessary corrective actions.

The following are some of the indicators of poor time management:

· **Constant rushing** (e.g. between meetings or tasks)

· **Frequent delays** (e.g. in attending meetings, meeting deadlines)

· **Low productivity, energy and motivation** (e.g. 'I can't seem to get worked up about anything')

· **Frustration** (e.g. 'Oh, things just don't move ahead)

· **Impatience** (e.g. 'where the hell is that information I've asked him for?')

· **Chronic vacillation between alternatives** (e.g. 'whichever option I choose it is going to put me at a big disadvantage. I don't know which way to jump')

· **Difficulty setting and achieving goals** (e.g. 'I'm not sure what is expected of me')

Why do/will I have so little time?	
• Management by crisis	• Paperwork
• Lack of Planning	• Poor communication
• Incomplete information	• Poorly organized meetings
• Personal disorganization	• Leaving tasks unfinished
• Attempting too much	• Inadequate controls
• Inability to Say No	• Lack of self-discipline
• Responsibility unclear	• Socializing
• Ineffective delegation	• Drop-in visitors
• Inadequate staff & resources	• Telephone interruptions

The Eleven Time Thieves

Dr. Donald E. Wetmore ("Time Thieves: The 11 Biggest Time-wasters Revealed") lists out the eleven 'inconsiderate troupe' of eleven thieves that gang up to steal some of the precious time away from productive use of managers.

1. Poor Planning: Failure to see the value of planning and getting impatient to get something done are the causes of poor planning. Absence of a plan of action is likely to trigger off a false start, resulting in unproductive time utilization on the critical path of the task being undertaken. Consequently, the managers might not find enough time for completing the task.

2. Crisis Management: Most often, crisis management is an offspring of lack of prioritization of tasks. As a result of the inability to distinguish between the urgent, the important and the unnecessary tasks, unimportant tasks are likely to get done first at the cost of important tasks. Consequently, the managers are not likely to find enough time to get around to the important things.

3. Procrastination: It is easy to put off tasks if they are not due right away. The trouble is, tasks pile up and can force managers to run into a time crunch later. Procrastination is generally triggered off by the fear of failure / success, perfectionism, wanting to do it all or incorrect priorities. It is a virtue to want to do a good job. But some people become so anxious about getting a job done perfectly that they never complete it. Managers should examine whether their efforts to get the job done perfectly are really improving things or preventing them from getting the job done.

4. Interruptions: Interruptions and distractions arise due to lack of planning, poor concentration and lack of control over environment. They are unnecessary thieves of a manager's time and come in many forms – drop-in visitors, telephones, e-mails unscheduled meetings, poor communications and confused chain of authority etc. Managers should be less willing to automatically give away their time just because they demand it.

They should learn to avoid distractions if they are to get work done. They should work in areas where they are less likely to be disturbed and tell people when they are busy and cannot be disturbed.

5. Not Delegating: Wanting-to-do-all by oneself is yet another thief that could let the managers lose control. They feel that employees can never do anything as well as they can. They fear that something will go wrong if someone else takes over a job. They lack time for long-range planning because they are bogged down in day-to-day operations.

6. Unnecessary Meetings: If a meeting is held without a specific agenda and nothing productive comes out of it, clearly that meeting was unnecessary. Obviously, such meetings are thieves as the time is wasted and things just do not get started.

7. The "shuffling blues": Managers often waste much time because of disorganization. Keeping things that they need in a specific place, eliminating clutter, making sure that they have all the materials or information that they need before starting on the task and following a day-planner or schedule will help keep the 'shuffling blues' away at the work place.

8. Poor Physical Setup: Not having the things that the managers need frequently within easy reach and having a lot of the things that they seldom require close-by results in wastage of a lot of time, wearing out the carpet, retrieving what they frequently need. And of course, as they pass others they will often pull them aside to steal some of their time.

9. Poor Networking: Quality relationships with employees and others can be a substantial time-saver as they open doors for the managers with all kinds of opportunities. Failing to develop a good network base will cause them to waste time creating what they might have had through their network.

10. Bad Attitude: Nothing sinks a day more effectively than having a poor attitude. It causes the managers to dwell on the problems and not the solutions and makes it possible to throw the day away. When they are burdening others with their problems and complaints they are forfeiting their valuable time.

11. Negative People: Being surrounded by negative people could mean the managers are spending a lot of their time listening to them but getting nothing much or purposeful from them. Obviously, avoiding such people will help the managers to minimize wasted hours and get some of their productive time back.

Saboteur Time Styles

The other aspect is self-inflicted thieves – 'saboteur time styles' that steal time. Based on the typical patterns of behaviour that tend to sabotage people's attempts at effective time management, Susan Ward ("Are You Sabotaging Your Time Management Efforts") classifies managers into different personality types and prescribes the following simple exercise, intended to help managers discover their standard behavioural responses to events and provide them with some clues for effective time management.

The Firemen - For them, every event is a crisis. They are always seen busy dousing the fires. They find scarcely any time for anything else and do not spare a thought on time-management. Tasks keep piling up around them, while they are seen rushing from fire to fire all day.

The Over-Committers – They just cannot say 'No' to anybody. They oblige and try to please everybody. All that anyone has to do is just ask, and they will chair another committee, take on another project, or organize yet another community event. Consequently, none of the tasks receives complete attention and remains half-done.

The Aquarians - There is such a thing as being too "laid-back" - especially when it starts interfering with their ability to finish tasks or bother to return phone calls. Getting to things that is when they get to them is not time management; it is simple task avoidance.

The Chatty Kathys - Born to socialize, they have astounding oral communication skills and cannot resist exercising them at every opportunity. Every interaction becomes a long drawn out conversation - especially if there is an unpleasant task dawning that they would like to put off.

The Perfectionists – Exactitude is their watchword, and they feel that no rushed job can be a good job. Finishing tasks to satisfaction is such a problem; they need more time zones, not just more time.

The 'Five Time Zone' Concept

The 'Five Time Zone Concept' advocated by Lewis, Justus and Storz, Moni Laui (Switch on Your Mind: Accelerative Learning Strategies at Work.) enables managers to bring about that balance.

The five links in the 'Five Time Zone' approach are - vision, plans, personal organisation systems, commitment and energy.

• **Developing Zone 1 - Vision and Goals:** Managers must search for visions, not tasks. These visions are guided by their personal standards and values, and the direction they want to take. Once their visions are crystallized, they need to do some thinking to create goals from their visions and action steps from their goals.

My vision and goals . . . • What is most important to me? • What would I like to do if there were no limitations? • What things in my life would I like to be different? • My visions for myself are . . .

• **Developing Zone 2 - Plans:** Having established goals, managers now can move into zone two - plans. A plan is needed to turn visions and goals into action. Writing things down and using some form of planning 'tool' are keys to successful planning. Once they have drawn up the plan, they need to review it. They should plan for high payoff and low-payoff activities for high and low priorities.

• **Developing Zone 3 – Personal Organization Systems (POS):** Zone three encompasses a manager's personal organisation system. Organising the desk, follow-up, paperwork, physical environment are all part of personal organization system. The personal organization system should focus on –

• Creating an interesting and relaxing work-space

• Providing easy access to basic tools and materials

• Grouping similar tasks together to optimize time

• Devising a good follow-up system that works well

• Enabling efficient handling of each piece of paper

• Ensuring a wider reach of people

My action plan to develop my POS 1 2 3 4 5

• **Developing Zone 4 – Commitment:** The fourth time zone is the zone of commitment, in which managers correct any tendencies they might have towards procrastination. Procrastination can be overcome by identifying why one is procrastinating, breaking the mental blocks and visualizing the successful completion of a task while in a relaxed state. One way to do this it to identify the real reason for the procrastination - personal, logical, emotional or ethical barrier to action. Once this has surfaced from the subconscious to the conscious, strategies can be brought into play to deal with it.

Reasons why I procrastinate . . .
1
2
3
4
5

• **Developing Zone 5 – Energy:** The final factor that keeps the chain together is zone five, the energy zone. Managers must check their office surroundings, as the environment they work in can sap or strengthen their energy levels. They must also identify the prime time - the time of day when they are most energetic and alert – they can schedule high-priority, high-payoff tasks or activities for these times.

• Find your prime time

• Internal and external prime time

• Cognitive tasks for the morning

• Complete high-energy tasks in high-energy periods

• Take energy breaks

Time Management Matrix

(*See material given separately)*

Getting oriented to manage time

To get ready to manage their time better, managers should answer the following questions:

• What is my time worth? How much do I get paid per hour? If I could save one hour a day, what would this amount to, in the course of one year?

• What is my job? What results are expected of me? Am I meeting a predetermined, definable purpose, or am I just drifting?

• What have I been doing? At the end of a day, am I able to account for my time, or do

I say to myself, "Where did the day go? I don't feel I have accomplished anything.''

• Have I been doing the right things? Am I involved in work activities that rightfully fall under the responsibility of my subordinates? What are the five most important tasks I have to do?

• How am I spending/ investing my time? What results do I see for the time I spend on each activity? What would happen if some of these things were not done?

• Am I goal-oriented? Am I working toward quantified objectives? Have I established performance standards for myself? For my people?

• Have I done any planning? When I arrive on the job in the morning, do I know what it is I want to accomplish during that particular day? Have I established priorities?

Have I determined a hierarchy of importance?

• Have I tried to manage, schedule, control my work and time? Is the job running me or am I running the job? Am I suffering from "brief case-itis,'' i.e., bringing home more and more of my work?

• Do I delegate all possible tasks? Am I able to hand over more tasks to my co-workers or staff at work and to my spouse or children at home?

• Does the time I spend on the job affect my lifestyle? Am I enjoying life and having fun, or am I so stressed from the pressures of poor time management on the job that the tension carries over into my everyday life?

Overcoming Barriers to Effective Time Management

a. Telephone Interruptions: Delegation of authority and responsibility is an ideal way of controlling telephone interruptions. Also fixing specific time slots for socializing and business will help the managers effectively reduce the telephone interruptions. Implementation of the screening procedures also lessen the burden of unwanted telephone intrusions.

Time - Saving Tips : Interruptions

- **Close your door**
- **Distinguish between necessary visits and interruptions**
- **Use different techniques**
  - **Visit others**
  - **Arrange appointment**
  - **Leave your office**
  - **Establish regular meeting time**

b. Drop-in Visitors: Taking time-log of visits and implementing a plan to arrange and screen appointments is an effective way of dealing with drop-in visitors. Managers can also have 'Open Door' and 'Quiet Hour" timings fixed so that they are not distracted when certain of their tasks demand undivided personal attention.

c. Meetings: Setting a clear agenda before will provide the right direction to the meetings and elicit positive outcomes from them. Selecting an appropriate location and assessing the needs of participation, information and coordination are also important prerequisites in conducting meetings. Concise minutes summarizing decisions, assignments and deadlines followed by effective follow-up on decisions make meetings purposeful.

Time - Saving Tips : Meetings

- **Request agenda**
- **Arrive early**
- **Notify chair if your will be late**
- **Avoid routine, emergency, impromptu meetings**
- **Avoid Monday mornings, Friday afternoons**

d. Lack of Priorities: Putting first things first helps managers spend relatively more time on activities that are important. Managers must realize that most of the problems arise due to action without thought. Defining clearly the objectives and priorities and deadlines in the form of a Daily Planner will help managers effectively use their time.

e. Personal Disorganization: Managers must recognize that personal disorganization, indecision, procrastination, insecurity, confusion of priority, and inability to meet deadlines are mostly due to lost documents. Uncluttered desk, orderly filing system and simplified procedures will help the managers make the most of time management.

Through a system in place for screening junk mails, minimizing paperwork and emphasis on brevity, managers can overcome their personal disorganization.

Time - Saving Tips : Managing E-mails

- **Know your system's special features**
- **List serves**
- **Same time every day**
- **Use Web services - (examples)**

- IFAP.ed.gov
- NASFAA Today New

f. Ineffective Delegation: Managers must ensure that clear, unambiguous instructions are given to the subordinates. They should establish plans, schedules with details, progress reports, monitoring of deadlines, and emphasize goal accomplishment methods and procedures. They should measure results rather than activity and track progress of an activity to take timely corrective actions.

g. Attempting too much: Managers must set their objectives, priorities, and deadlines daily so that they must plan, start early and always remember Murphy's 2nd Law: "Recognize that everything takes longer than you think". They must limit their response to the urgent and important demands. They should learn to say "No" when necessary.

h. Unclear Communication: Managers must assess the legitimate needs for information and check for interference, noise or activity in the flow of information. They should also assess potential impact of unclear communication, take preventive steps and minimize organizational levels. If it is difficult to minimize organizational levels, they should facilitate easy flow of information across the organization.

i. Inadequate, Inaccurate or Delayed Information: Managers must determine what information is needed for planning, decisions and feedback on results. Then they should ensure its availability, reliability and timeliness.

j. Indecision/ Procrastination: Managers must set deadlines on all objectives and priorities, use reminders, have the secretary check on the progress, reward themselves (no coffee until they finish). They should avoid fixing blame; ask what's been learned and how repetition can be avoided.

k. Confused Authority / Responsibility: Managers must lay emphasis on accountability for results; through recognition and reward for exercise of initiative; through citation, consideration in performance and salary review, promotion, etc.

l. Inability to say 'No': Managers must recognize that inability to say 'No' is a major cause of time wastage. They should understand that saying "Yes" may betray feelings of insecurity and low self-worth and should resist this urge. They should take time log recording all "Yes" responses that could have been "No" and assess the time wasted. They should learn to say "No", especially to inappropriate or thoughtless requests. Dr Mackenzie suggests four steps to say NO and it is presented in the BOX on the next page for quick reference.

Dr. Mackenzie's Four Steps to Saying "No."

1. Listen

This lets the requesting person know you're giving full attention to the request and lets you fully understand what is being asked.

2. Say "No" politely but firmly right away

Don't build false hopes with wishy-washy answers.

3. Give your reasons, if appropriate

Your reasons may include your priorities, your schedule, etc. This reinforces your credibility.

4. Offer alternatives, if possible

Demonstrate your good faith by suggesting other ways to meet the person's need.

There are many ways to say "No" after listening to a request that you simply cannot handle.

Dr. Mackenzie offers a few:

• "I'm sorry, my other commitments just won't permit me to take on another project right now."

• "You know, on New Year's Day I promised my family I wouldn't take on anything else this year. I've been neglecting them too much."

• "Thanks for the compliment, but I'm afraid I'll have to decline, maybe next year."

• If a request catches you off-guard, don't say anything until you count to ten first.

m. Leaving tasks unfinished: Managers must take time log and assess the impact of leaving tasks unfinished. They should set deadlines on all important tasks to provide incentive to complete them. They should get organized to permit effective control of tasks. They should recognize that sound organization saves time in retrieving information, processing decisions, and maintaining control over projects.

n. Lack of Self-Discipline: When a manager switches priorities of his team, he makes self-discipline difficult to practice. S/he should take time log to record frequency, assess cost, discuss with colleagues to seek ways of reducing problem.

Time-Wasters: Causes & Solutions

(See hand out given separately)

HOW MUCH IS YOUR TIME WORTH?

Annual Salary	______________________
Overhead	______________________
Benefits	______________________
Your Staff Salaries	______________________
Their Ovhd & Benefits	______________________
TOTAL	______________________
52 Weeks	______________________
(Rs/hr)	______________________
45 hrs/week	______________________

Questionnaire 1: Time Management Behaviour

Use the time-management behaviour matrix below to assess your current time-management skills.

INSTRUCTIONS

1. *Read each statement and assess how well it describes you and your time-management practices. In the second column (How often?), indicate how frequently you practice each behavior.*
2. *Read each statement a second time and assess its value to you. In the third column (How important?), indicate how important each practice is to you.*
3. *Multiply the second column by the third column and enter the results in the fourth column (Ratings).*
4. *Circle the values in the fourth column that are less than 5.*

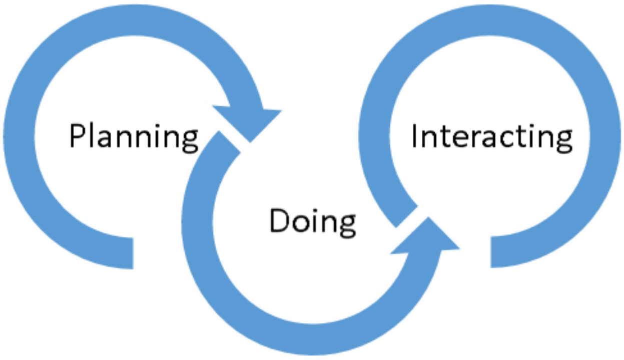
Behaviour	How often? 1= seldom 2= sometimes 3= Frequently	How important? 1= Not at all 2= Somewhat 3= Very	Rating
I have three or four clearly established personal and career goals that I am striving to reach.			
I use a 'to do' list daily.			
I make use of a daily planner or calendar to record important events and tasks.			
I rank my priorities daily from most to least important.			
I delegate as many responsibilities as I can.			
I have adequate time to be with friends and loved ones.			
I am aware of my daily energy levels.			
I complete my most important task when I feel most energetic.			
I work on my most important tasks before I work on the easy ones			
When I face an unpleasant task, instead of procrastinating I break the task into manageable, bite-sized pieces.			
I plan ahead by setting aside time on my calendar to complete major tasks.			
I schedule time for interruptions			
I take good care of myself by rewarding myself for completing realistic objectives.			
At the end of most days, I look back on my 'to do' list and find that I have accomplished the most important tasks.			
I take care of myself by rewarding myself at least twice a week.			
When necessary, I set limits by saying, "no, I just don't have time right now to do that".			
When waiting for a stoplight or waiting for an appointment, I take two or three deep breaths and relax deeply.			
I schedule and limit the amount of time each day that I devote to phone calls and e-mail.			
I strive to handle each item in my mail only once.			
I am organised well enough that I can find my bills or an important letter in less than five minutes.			
Each member of my household has clearly defined household duties			
I ask for help when I want it.			

Key: *A score of more than 5 on an item suggests that you value that time-management practice and do it frequently. The circled items describe that practices that you do not find important or have not found time to implement.*

Questionnaire 2: DO NOT WORK HARD

But work 'smart'. Working 'smart' means organizing yourself so that you invest your time only in value-added activities. These are activities which contribute toward achieving your goals and objectives.

There are three types of demand on your time:



Planning : is organizing

Doing : is carrying out the plan as decided

Interacting : is working with other people

What is your style?

Put plus (+) if you are strong; minus (-) if you are weak.

Planning		Doing		Interacting	

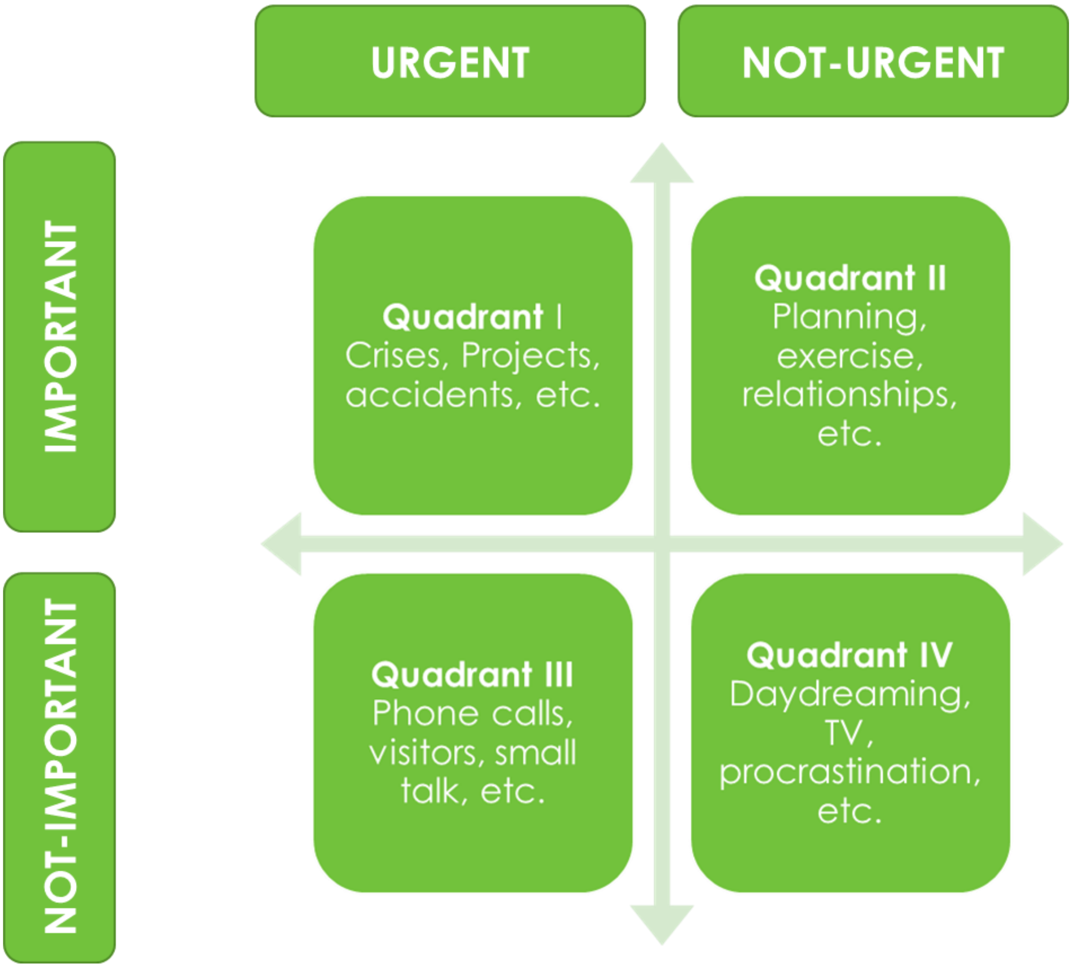
Tick your style.

KEY

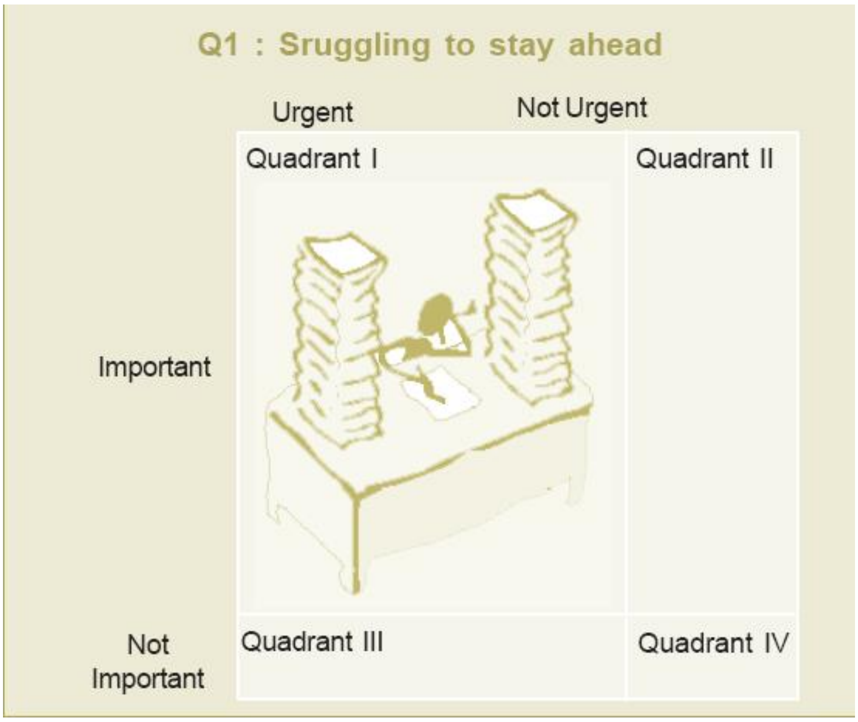
You are a Plus Time Manager ***If you had two or more Pluses (+)***			
Planning	**Doing**	**Interacting**	**STYLE**
+	+	+	You are a balanced person.
+	+	-	You do your own things well.
-	+	+	You others' Priorities well.
+	-	+	You have good intentions but no work done.
You are a Minus Time Manager ***If you had two or more Minuses (-)***			
Planning	**Doing**	**Interacting**	**STYLE**
+	-	-	Unrealistic dreamer.
-	+	-	You are on a tread mill.
-	-	+	Delightful Person but incompetent.
-	-	-	Neither delightful nor competent.

Time Management Matrix

Time management experts like Stephen Covey S R (The Seven Habits of Highly Effective People; Simon & Schuster) have developed a model called a time management matrix. This model enables managers to prioritize their activities and use their time more effectively. With the help of the model, they can evaluate their activities in terms of importance and urgency.

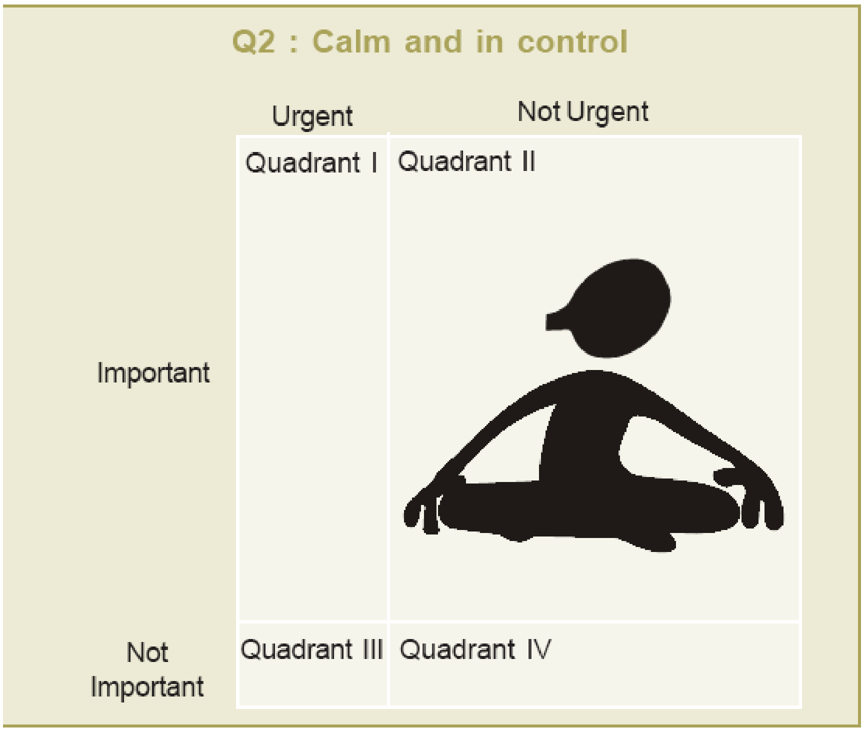


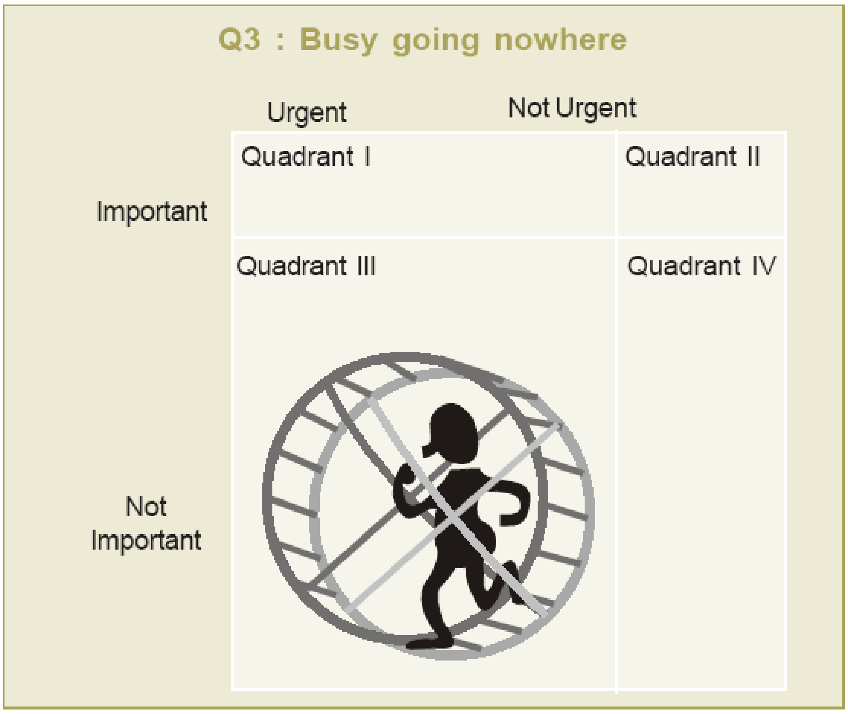
Tasks can be categorized as urgent/ not urgent or as important/ not important as shown below. Each of a manager's activities can be distinguished as one of four types, represented by the four quadrants of the time management matrix. Categorizing a manager's activities in these quadrants helps him identify what is important and avoid unimportant tasks and activities. It also helps him prioritize important tasks and activities.



The activities in **Quadrant 1** are both important and urgent. These include deadline-driven tasks and important daily chores. The results of operating in this Quadrant are stress, burnout and crisis management.

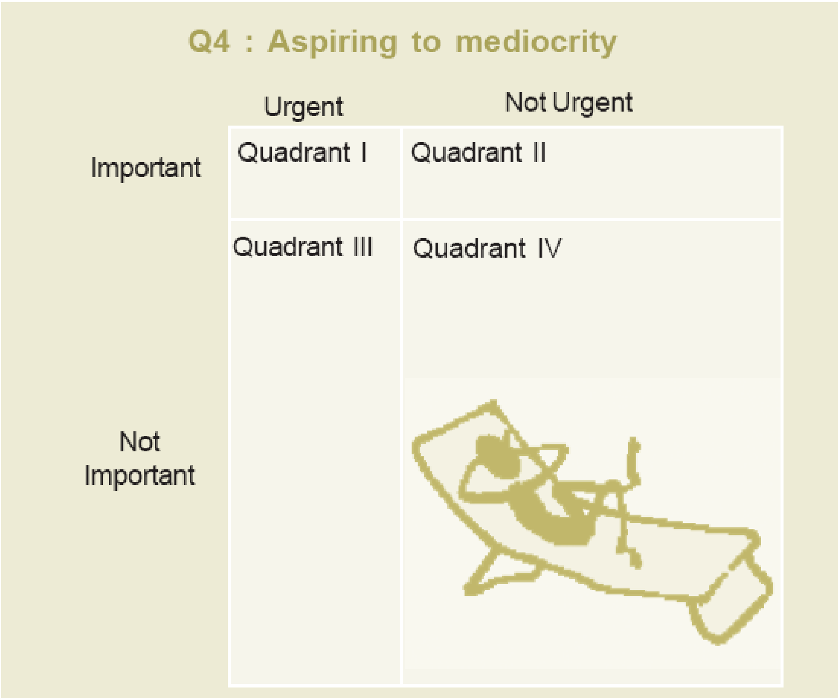
The activities in **Quadrant 2** are important but not urgent. These activities are characterized as preparation, planning, crisis prevention, and deadline-avoiding tasks. Operating in this Quadrant will mean a manager having a proper perspective, vision, balance, discipline, control and few crises.





The activities in **Quadrant 3** are not important but urgently press upon us and interrupt our more important activities. These include responding to drop-in visitors, phone calls, meetings, and mail that do not increase productivity and effectiveness. Operating in this Quadrant will mean short-term focus, crisis management, worthlessness of goals and plans, feeling of victimization and broken relationships.

The activities in **Quadrant 4** are neither important nor urgent. Busywork, time wasters, junk mail, and some phone calls are the type of activities that are a part of this quadrant.



Operating in this Quadrant will mean total irresponsibility and over-dependence on others in addition to outcomes in Quadrant 3.

From a study of the Time Management Matrix, the following observations can be made:

1. Activities in Quadrant I and Quadrant II may be equally important. Some activities in Quadrant II may even be more important than activities in Quadrant I, but not necessarily more urgent.

2. Activities in Quadrant I assume critical importance and top priority.

3. Spending most of the time on Activities in Quadrant I results in stress and burnout.

4. Focusing on activities in Quadrant II can reduce the activities in Quadrant I, in the long run.

5. Focusing on activities in Quadrant II will mean avoiding all unimportant activities in Quadrant III and IV.

How can you get an extra hour out of each day?

Here are some tips to help you squeeze those extra minutes out of your day. Of course, you can adapt these so that they will fit in with your situation.

1. Get up earlier
2. Watch less TV (I mean how many Law & Order spinoffs does one need to watch?)
3. Avoid allowing others to waste your time
4. If you don't have to drive to work, use that time to study or plan. If you do drive to work listen to a motivational tape on the way to work instead of that mindless dj talk.
5. Organize your work; do it systematically.
6. Make creative use of lunchtime.
7. Delegate authority if, possible.
8. Spend less time on unimportant phone calls.
9. Think first, and then do the task.
10. Do what you dream about doing, instead of just dreaming about it.
11. Work hardest when you're the most mentally alert
12. Eliminate activities that make the smallest contributions to your life.
13. Always do the toughest jobs first.
14. Before each major act ask, "Is this really necessary?"
15. Choose interesting and constructive literature for spare time reading.
16. Learn how to sleep. Sleep soundly, then work refreshed.
17. Skip desserts.
18. Stop smoking.
19. Write notes or letters while waiting for others.
20. Always carry an envelope with paper in it and a few stamps.
21. Combine tasks that are done in the same area.
22. Be prompt for all appointments.
23. Lay out your clothes the night before. (I need to remember this myself)
24. Call on specialists to do work that you cannot do efficiently
25. Learn to read more rapidly.
26. Take a nap after dinner. Then take a shower. Begin the evening hours relaxed and refreshed.
27. Avoid interruptions.
28. Avoid making a big production out of tiny tasks.
29. Search out job shortcuts.
30. Know your limitations.
31. Work to your full capacity. I know it's tough to break bad habits. However, it is necessary to make sacrifices so that your business can be successful.

Don't try to implement all of these ideas at once. Implement them one at a time and repeat them until they become a part of your daily routine.

Time-Wasters: Causes & Solutions

Time Waster	Possible Causes	Solutions
Lack of planning	Failure to see the benefit of planning	Recognize that planning may take time but it saves time and effort in the long run.
Lack of planning	Action-oriented (perhaps *not* action-oriented otherwise the above point is similar to this)	Emphasize results, not activity.
Lack of planning	Success without	Recognize that success is often in spite of, not because of, methods.
Lack of priorities	Lack of goals and objectives	Write down goals and objectives. Discuss priorities with co-workers and family members.
Over-commitment	Broad interests (Impractical) Confusion in priorities	Learn to say no. Re-assesses your goals and priorities
Over-commitment	Failure to set priorities/Over Ambitious	Develop a personal philosophy regarding time. Relate priorities to a schedule of events
Management by crisis	Lack of planning	Apply the same solutions as for lack of planning.
Management by crisis	Unrealistic time estimates	Allow more time. Allow for interruptions.
Management by crisis	Problem oriented	Be opportunity oriented
Management by crisis	Reluctance of others to break bad news	Encourage fast transmission of information via grapevines as essential for timely corrective action
Telephone	Lack of self-discipline	Screen and group calls. Be brief.
Telephone	Desire to be informed and involved	Stay uninvolved with all but essentials. Manage by exception.
Meetings	Fear of responsibility for decisions.	Make decisions without meetings.
Meetings	Indecision	Make decisions even when some facts are missing.

Time Waster	Possible Causes	Solutions
Meetings	Over-communication	Discourage unnecessary meetings. Convene only those needed.
Meetings	Poor leadership	Use agendas. Stick to the subject. Prepare concise minutes as soon as possible.
Meetings	Indecision	Lack of confidence in the facts. Improve fact finding and validating procedures.
Meetings	Insistence on all the facts; ***paralysis by analysis***	Accept risks as inevitable. Decide without all facts.
Meetings	Fear of consequences of a mistake	Delegate the right to be wrong. Use mistakes as a learning process.
Meetings	Lack of a rational decision-making process.	Get facts, set goals, investigate alternatives and negative consequences, make the decision, then implement it.
Lack of delegation	Fear of subordinates' inadequacy.	Train. Allow mistakes. Replace if necessary.
Lack of delegation	Fear of subordinates' competence	Delegate fully. Give credit. Challenge the potential and reward merit.
Lack of delegation	Work overload on subordinates	Balance the workload. Reorder priorities.
Haste	Impatience with detail	Take time to get it right. Save the time of doing it over.
Haste	Responding to the urgent	Distinguish between the urgent and the important.
Haste	Lack of planning ahead	Take time to plan. It repays itself many times over.
Haste	Attempting too much in too little time.	Attempt less, delegate much more.
Paperwork & reading	Knowledge explosion	Read selectively. Learn speed reading.
Paperwork & reading	"Computeritis"	Manage computer data by exception.
Paperwork & reading	Failure to screen	Delegate reading to subordinates. Ask for summaries.

Time Waster	Possible Causes	Solutions
Routine & trivia	Lack of priorities	Set and concentrate on priority goals. Delegate non-essentials.
Routine & trivia	Over-surveillance of subordinates	Delegate; then give subordinates their right to do it their way. Look to results, not details or methods.
Routine & trivia	Refusal to delegate; feeling of greater security dealing with operating detail	Recognize that without delegation, it is impossible to grow. Forget perfectionism.
Visitors	Enjoyment in socializing	Do it elsewhere. Meet visitors outside work setting. Suggest lunch, if necessary or hold stand up conferences.
Visitors	Inability to say “no.”	Screen. Say no. Be unavailable. Modify the open door policy.

Day IV (Afternoon) Group Dynamics &Team Building

Session-at-a-Glance

Session Plan	Session Structure	Teaching Methods	Time
Learning Objective: To impart relevant knowledge, sharpen the requisite skills and orient attitudes of participants by improving managerial capabilities of participants through team building and Group dynamics. **Resources required:** • Projector and computer • Flipcharts, marker pens • PowerPoint Slides • Card boards of 6”X6”	Concept of team Concept of group Synergy. Principles of intra-group dynamics relevant in the context of team building and management. How to build and manage effective teams.	The exercise of broken squares. Discussion & Participants’ experience sharing on above exercise Lost at sea exercise Discussion & Participants’ experience sharing on above exercise Video Discussion Lecture	30 min 20 min 45 min 20 min 20 min 10 min. 5 min
			150

Instructor Guide

A unique feature of the session on team building and management will be that a game/exercise will precede discussions. The exercise of broken squares will be conducted without announcing that it is part of a session on team building and management.

Detail instructions on how the game would be played and how the broken squares/ circles should be prepared are given later.

Once the Game has been played, initiate discussion as mentioned about the game.

The next game/ exercise is Lost at Sea, details instructions are given with the game/exercise.

Before showing the video ‘***John Wooden The difference between winning and succeeding’*** Kindly introduce the speaker thus:

John Robert Wooden (October 14, 1910 – June 4, 2010) was an American basketball player and coach. Nicknamed the "Wizard of Westwood," as head coach at UCLA he won ten NCAA national championships in a 12-year period, including an unprecedented seven in a row. Within this period, his teams won a men's basketball-record 88 consecutive games. Wooden's streak of seven consecutive NCAA Championships is even more remarkable and impressive because to this day no other coach or school has won the tournament more than two consecutive years.

Wooden was named national coach of the year six times.

As a 5' 10" guard, Wooden was the first to be named basketball All-American three times, and the 1932 Purdue team on which he played as a senior was retroactively recognized as the pre-NCAA Tournament national champion by the Helms Athletic Foundation and the Premo-Porretta Power Poll. Wooden was named a member of the Basketball Hall of Fame as a player (inducted in 1961) and as a coach (in 1973), the first person ever enshrined in both categories. Only Lenny Wilkens, Bill Sharman and Tommy Heinsohn have since been accorded the same honours.

One of the most revered coaches in the history of sports, Wooden was beloved by his former players, among them Kareem Abdul-Jabbar (originally Lew Alcindor) and Bill Walton. Wooden was renowned for his short, simple inspirational messages to his players, including his "Pyramid of Success". These often were directed at how to be a success in life as well as in basketball.

After showing the video, ask the participants as to what enabled John Wooden to continuously build successful team.

Broken Squares Game

(The Broken Squares game invented by Dr. Alex Bavelas (1973))

The purpose of this simulation is to sensitize the participants to the problems involved in cross-cultural communications and problem solving. It can uncover behaviors that may contribute to or obstruct group problem solving. The activity also emphasizes the value of effective team communication.

Some **learning points** often brought out during the activity include:

- Participation and cooperation by all members of a team are essential
- Lack of communication makes the problem-solving process very difficult
- Problem solving requires that team members keep an open mind to a variety of potential solutions
- Some tasks that initially seem easy may be much more complex than expected
- Understanding the objectives of the task at hand is important

Time Required
Approximately 45 minutes to organize, play and debrief.

Participants
Any number of groups with 5 – 6 people per group

Materials Needed
One set of broken squares is needed for every five participants. If a group has six participants, the extra person is to be provided with the instructions for the role of the observer.

Included on the following pages are:
1. Instructions for the Facilitator
2. Instructions for Observers
3. Directions for Making Broken Square Sets
4. Debriefing the Broken Squares Simulation

Instructions for the Facilitator

Five members of each group should be seated around a small table or in a small circle so they can work with the squares. A complete set of squares is made up of five separate envelopes, each having all the pieces labeled by one of the letters A, B, C, D, or E. (For clarification and the solution you can refer to Directions for Making Broken Square Sets) These five envelopes, also labeled A, B, C, D, or E, are to be given to the group, one envelope per member. They are not to be opened until the instructions are read.

Several groups can play the game at the same time. Be sure you have the number of sets of broken squares needed. When seating the groups, be sure they cannot see the groups around them.

Read the following instructions to all participants

"As you play the game of broken squares, you will be entering a new society. However, as you enter this society there are some rules you must follow in order to make the appropriate cultural adjustment. You may not like all of these rules, but you must be careful to observe them.

Your task is completed only when each participant has, before him or her, a perfect square of the same size as that of the others in your group.

Certain rules must be followed by each member of the group during this exercise:

1. There is to be no talking by any participants
2. No member may gesture with his/her hands, arms, eyes, etc. to communicate to another.
3. No member may take a piece from another member
4. No member may place any of their own pieces in another person's square.
5. No member may place his/her pieces in the center of the table for others to take.

    Members may, however, give their pieces to other members.

Are the instructions clear? Then you may open your envelopes, place your pieces in front of you and begin working." (The facilitator or observer will enforce the rules.)

<u>Special note to the facilitator</u>: Several combinations are possible that will form one or two squares but only one combination will form all five squares, each 6" by 6".

Instructions for Observers

Observers are to insure that participants follow the rules:

- There is to be no talking, gesturing, pointing or any other method of communicating among the people in the group
- Participants may give pieces to other members of the group, but they may not simply put pieces in the center for others to take.
- There is to be no taking of pieces which have not been directly given and no placing of pieces in another person's square.
- It is permissible for a person to give away an entire square, even if the square is already complete. It is not necessary to give away only one piece at a time. (This will not be mentioned to the group)

As you observe the group, please record any observations you make. Do not share these questions with any of the participants.

- Who has difficulty keeping the rules?
- Who is willing to give pieces away?
- Was there anyone who continued to struggle with their pieces but was unwilling to give any or all away?
- Did anyone finish their square and then separate themselves from the struggles of the rest of the group?
- Did you observe anyone dropping out of the game? Does it cause a problem?
- Did you see participants looking for solutions in other person's pieces rather than concentrating on their own pieces?
- Was there any crucial turning point at which time the group began to cooperate?

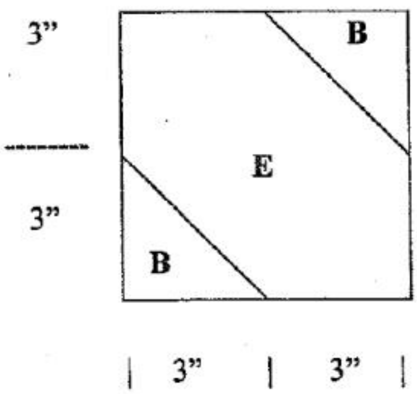
Directions for Making Broken Squares Sets

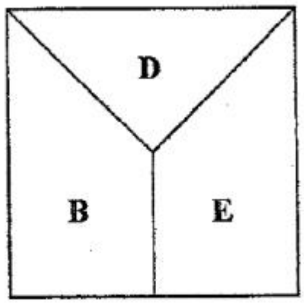
A set consists of five envelopes containing pieces of poster board cut into different patterns which, when properly arranged, will form five squares of equal size. When making multiple sets, use a different color of poster board for each set of five envelopes.

To prepare one set of Broken Squares, cut out five poster board squares, each exactly 6" by 6". Mark the squares as shown below and write the appropriate letter on each piece on the back of the poster board so they can be placed in the proper envelopes.

The lines must be drawn so that the small triangles in squares 1, 4, and 5 will be exactly the same size. In square 2 the pieces labeled B and E must also be exactly the same size. Any lines drawn to the middle of the side of a square must be exactly 3 inches from both corners for that side. Cut each square along the lines into smaller pieces to make the parts of the puzzle.

Label the five envelopes A, B, C, D, and E. Place the poster board pieces into the five envelopes according to the letter on each piece. The number of pieces for each envelope: A-3, B-4, C-2, D-2, E-4.





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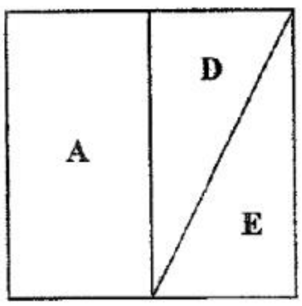
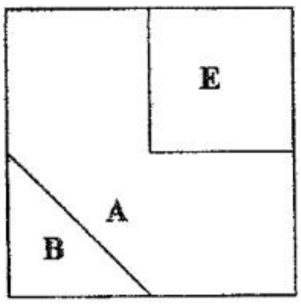
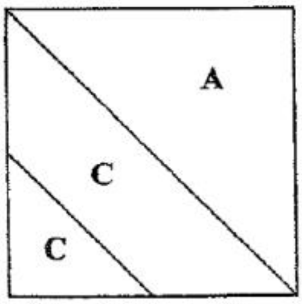






Debriefing the Broken Squares Game

Recall: The purpose of this simulation is to sensitize the participants to the problems involved in cross-cultural communications and problem solving. It can uncover behaviors that may contribute to or obstruct group problem solving.

Proper debriefing can be very helpful in preparing your team for some of their experiences on the field. Some suggested questions are listed below.

1. How did you feel during the exercise? Why?

2. How many felt a sense of frustration? Why?

3. If the frustration is caused by the inability to communicate, how did you solve the problem?

4. Ask if anyone mentally dropped out when they had completed their square? Why? (For westerners with an individualistic orientation we often hear instructions as individuals.)

5. Was there any critical point at which the group started to cooperate? What was the cause?

6. What messages are sent in the willingness to give or not give away pieces?

7. What are the difficulties you experienced in your group?

8. What is necessary to effectively work within a group or team?

Special Note: The problem in cross-cultural communication is not that you cannot communicate but rather the normal patterns of communications are disrupted. In this activity participants could communicate by giving away appropriate pieces.

Some Principles for Successful Group Cooperation:
- All participants must have a thorough understanding of the problem
- Each participant should understand how he or she can make a contribution toward solving the problem
- All participants should be aware of the potential contributions of others in the group

"LOST AT SEA"

A Consensus-Seeking Task

(Adapted from "The 1975 Annual Handbook for Group Facilitators" J. William Pfeiffer and John E Jones/ Editors. (University Associates, Inc. / La Jolla, California, 1975)

Learning Outcomes

The following are the main objectives of this exercise.

1. Experiencing and developing insight in the process of making a decision in a group.

2. Experiencing and understanding the process of and the factors contributing to the development of consensus.

3. Developing an insight in the various processes involved in decision making groups- problem solving processes, task facilitating processes, and group building processes.

4. Becoming sensitive to the resources available in the group, and the need to make use of such resources.

5. Developing insight into the conflict between the concern for evolving an effective decision (achievement motive) and the concern to get one's own point of view or solution accepted in the group (power motive).

RATIONALE

The exercise essentially consists in comparing the decision made by individual members with that made by them as a group. The idea of involving a group in decision making is that the collective "wisdom" of a number of individuals will produce a more effective decision than one made by a single individual, howsoever competent he may be. This is the idea of synergy- Synergy or synergism is the simultaneous action of separate agencies which, together, have greater total effect than the sum of their individual effects. Typical examples of synergy are the combined or cooperative action or force of different organs of the body, as of muscles working together, which is much greater than the arithmetic sum of the forces of the individual organs/parts had they been working separately of one another.

AIMS

1. To explore the effectiveness of consensus-seeking behaviour in groups through experiences with individual decision making and group decision-making.

2. To explore the concept of synergy through group decision making.

GROUP SIZE

Any size group split into syndicates of five to twelve participants. Several syndicates may be directed simultaneously. (Synergistic outcomes are more likely to be achieved by smaller / groups, e.g. five to seven participants.)

MATERIALS

1. Pencils.

2. Two copies of the Lost at Sea Individual Worksheet for each participant.

3. A copy of the Lost at Sea Group Worksheet for each syndicate.

4. A copy of the Lost at Sea Answer and Rationale Sheet for each participant.

5. Flipchart paper and felt-tipped markers.

PHYSICAL SETTING

Facilities for both privacy in individual work, and for syndicates to hold discussions without interrupting each other.

PROCESS

1. The facilitator distributes two copies of the Lost at Sea Individual Worksheet to each participant and asks each person to complete the forms in duplicate including their name. Emphasise that participants are to work independently during this phase and that they have a maximum of fifteen minutes to complete the worksheet.

2. After fifteen minutes, the facilitator collects one copy from each participant. The other copy is for use in the syndicate.

3. The facilitator forms syndicates of five to twelve participants and tells them to work in specific areas either in the room or in syndicate rooms. The membership of each syndicate is worth planning in advance so that it can be organised smoothly. Listing the members of the syndicates on a flipchart is an effective way to do this.

4. A representative of each syndicate is given a Lost at Sea Group Worksheet. The trainer then reads the instructions to the group, emphasising that each member of a syndicate should partially agree with the syndicate choices to establish consensus, but that they are not to use such techniques as averaging, majority voting, or trading to reach agreement. The syndicates should be asked to make serious efforts to achieve success in this task.

5. The syndicates should then be sent to complete the task with a time limit of thirty minutes.

6. While the syndicates are engaged in their task, the facilitator marks the individual ranking sheets. The score is the sum of the differences between the "correct" rank for each item and its rank on the Individual Worksheet (all differences should be made positive and added). Higher scores have greater negative implications. The facilitator then totals

all individual scores for each syndicate and divides by the number of members to obtain the average individual score for each syndicate.

7. After thirty minutes, the facilitator collects the Group Worksheets making sure that they are named for each syndicate and invites the syndicates to come back together. The participants should be invited to discuss their consensus-seeking approaches to performing the task.

The following questions may be written up on a flipchart/board for the group to consider.

What difficulties did they encounter? How did they resolve them?

How happy were they with their result? Did they use the time effectively?

8. The facilitator then scores the Group Worksheets as was done for the Individual Worksheets. If there are two facilitators one may mark the Worksheets while the other leads the discussion.

9. The facilitator then prepares a chart such as the one following, summarising the statistics.

BEFORE GROUP DISCUSSION

Group	Average Individual Score	Score of Most Accurate Individual
Example	55	45
1		
2		
3		
4		
Average for all groups		

AFTER GROUP DISCUSSION

Group	Score for Group Consensus	Gain/ Loss Over Average Individual	Gain/ Loss over Most Accurate Individual	Synergy*
Example	40	+15	+5	Yes
1				
2				
3				
4				
Average for all groups				

* Synergy is defined as having occurred when the consensus score is lower than the lowest individual score in the syndicate.

10. The facilitator returns all Individual and Group Worksheets and distributes a copy of the Lost at Sea Answer and Rationale Sheet to each participant. After allowing the group a few minutes to discuss the answers and rationale, the facilitator analyses the statistics and explains the synergy factor.

11. The facilitator leads a discussion of the comparative outcomes of individual rankings and group consensus rankings. Discussion questions such as the following might be suggested by the facilitator:-

- What behaviours helped or hindered the consensus-seeking process?
- What patterns of decision-making occurred?
- Who were the influential members and how were they influential?
- How did the group discover and use its information resources? Were these resources fully utilised?
- What are the implications of consensus-seeking and synergistic outcomes for intact task groups such as committees and staff of institutions?
- What might be the consequences of such a process for the group's attitudes?

Processing the Exercise

The following dimensions need to be brought out during the processing of the experience in the exercise.

1. **Motivational Dimensions of Consensus:** The trainer may ask the volunteers from the various groups to share with others what they thought was the main focus of the group while it was involved in decision making. What was the prevailing meta-climate, one of arriving at an effective decision or one of getting one's opinion accepted? The first orientation is that of achievement motivation, and the second that of power motivation. In the process of decision-making the group may range between two extremes. One extreme may be the main concern of getting one's own point of view accepted. On this extreme the members are concerned about whose views will be accepted, instead of being concerned with the problem on which a decision is to be made; they are more concerned about the personal influence they can wield and they use various methods of testing the strength and power which different members have. On the other extreme is the focus on making good decision, generating resources in the group, and pooling and using the resources. The decision making process can be near one of these two points in a continuum. We can broadly say that the decision making in a group can be either by the process of division (power, or by the process of consensus (achievement),

In the process of division, the strength of various members is tested and the group gets divided. In the process of consensus the strength of various members is brought to bear on the best possible decision. Consensus does not necessarily mean unanimity. It means the sharing of differences, listening to one another accepting the final choice in spite of the difference which may still exist. As a result of consensus, all members of the group do not come to the same conclusion. The differences may continue. However, members have an opportunity to express such differences, discuss the rationale behind the different points of view, and have the satisfaction that the members of the group have listened to them and they in turn listened to the logic put forward by the other members. At the end of such discussion the members come to a conclusion that one optimum solution is to be selected. And this helps them to accept one solution out of several alternatives, even though' some of them may not agree with that alternative completely. However, the commitment of the members to the implementation of the solution is assured.

2. Facilitating and Hindering Factors in Consensus Building: The trainer may probe two contrasting group to find out what factors helped one group to move towards consensus, and what factors hindered such a movement in the case of the other group. Usually the following factors hinder consensus building:

(a) ***Domination by a few:*** When there is a tendency by some members to dominate in a group, and influence the decision, consensus is difficult to develop.

(b) ***Withdrawal:*** The natural result of domination by, a few is withdrawal by several other members when they do not see an opportunity to express themselves freely and influence the process of decision making.

(c) ***Tendency to make quick decision:*** When members of the group rush to make decision very fast the possibility of consensus decreases. Consensus would require patience, and members' tendency to pay attention to the opinions of other members. This takes time.

(d) ***Testing strength:*** In the process of decision making, when some ways are used to test the strength and take a decision according to the strength either on the basis of numerical strength or on the strength of argument, the group splits. Instead of moving towards a consensus there is always a tendency to break the group into divisions. Voting in a group to find the majority and minority opinion, does not help the group to move towards a consensus because the members holding the minority view usually fail to commit themselves to the decision taken by the majority.

(e) ***Avoiding confrontation:*** When the members of a group avoid confronting differences in making the choice by continuous discussion, the possibility of consensus decreases. One way to avoid confrontation is to use a third party intervention or decided: by chance like flipping a coin.

(f) ***Trading or compromising:*** Sometimes, people in order to get their suggestion or point of view accepted, trade their own point of view with some others; this way they come to an agreement that the suggestion given by one member will be accepted in exchange of another suggestion given by another member. This kind of trading or compromising reduces the possibility of consensus.

The following factors have usually been reported to help build consensus.

(a) ***Concern for others:*** The basis of consensus is respect and concern people have for one another. This also helps them to look for expertise and the resources available with the different members.

(b) ***Listening:*** A consequence of respect and concern for others leads people to listen carefully to what others say, rather than being obsessed with their own ideas about a problem.

(c) ***Identifying and using resources:*** People in the group realise that each member is a special resource. In order to make a good decision it is necessary that all the resources are utilised. The group takes active steps, to find out what the dimensions of the problem are, and if anyone in the group seem to have necessary resources on the various dimensions. It is recognised that different members have different skills. Without necessarily formal discussions on the matters an effective group brings to use these skills in order to perform its task effectively.

(d) ***Discussing underlying assumptions and logic:*** When people discuss not only their own suggestions and ideas - but also why they are proposing these and what the underlying rationale of these suggestions and ideas is the movement towards a common understanding becomes easier and the group is able to move towards consensus.

(e) ***Testing consensus and disagreements:*** A consensus is reinforced when after some amount of discussion the members of the group examine if there are still some disagreements; and such disagreements are allowed to be expressed and discussed. However, if agreements are not discussed and avoided, or are not voiced it would be difficult to develop a consensus. From time to time the group may stop and see whether enough consensus about what is being decided exists.

(f) ***Process orientation:*** The group which spends some time on the process is able to develop consensus faster. Instead of being concerned only with the task, the group is also concerned about how people are feeling, whether some people have withdrawn as a result of some hot exchange of feelings, how many people are speaking and how many are silent, how fast the group has been going etc. Such questions, when discussed from time to time, will help the group to move towards consensus.

3. The Problem Solving Process: In developing a consensus it is necessary that enough attention is paid to the process of problem solving. The process involves several aspects

like the following. The trainer may elicit these by the appropriate probing of the groups and may emphasise their importance. As will be seen from the following discussion the consensus involves both generating alternatives, as well as the narrowing down of the choices, resulting in an agreement amongst members of the group.

(a) Deciding priorities: The effective groups in such exercises have been found to spend enough time discussing the main priorities. For example, in this exercise they debate about the priorities of survival, locomotion, and communication (being spotted out by a search party). Such a discussion may narrow the objectives for the members, and they may take the first step of moving towards consensus by agreeing on the objectives.

(b) Analysing the problem at several levels: The problem may seem to be single, but it may have several aspects. For example, in this exercise the problem need to be analysed at these levels: the psychological conditions of the survivors; the conditions of the desert; implications of these conditions for survival, locomotion, and communication; effect of dehydration and so on. When the time is spent on the discussion of such dimensions, the various aspects of the problem are clarified, and the issues for decision-making get considerably narrowed.

(c) Generating alternatives: Before the final decision making, a number of alternatives need to be considered. When members give different opinions, or advance what ma~ be called "theories" on which action will be based, the possibility of making a more rational choice increases.

(d) Discussing consequences of each alternative: Before the group makes the final decision, two processes are important. One is to consider the consequences of the various alternatives generated. For example, one alternative here may be locomotion. If this is accepted what are the consequences: how long can a person walk during the day/during the night; how much energy he will be left with to take other actions etc.

(e) Developing criteria for discussion: An effective group does not rush into the final decision but spends enough time. on deciding on the criteria against which the decision will be Judged. The priorities discussed will help in generating the criteria.

(f) ***Reviewing:*** In the end, the group gets an opportunity to make the necessary corrections and modifications if it plans some time to review the decision 'in the light of the accepted criteria.

4. Task Facilitating Processes: Several processes help in making effective decisions. Some of these relate to task accomplishment. The following aspects are worth mentioning in this connection.

(a) ***Initiative:*** Unless members of the group take the initiative to discuss no task can be properly accomplished. It needs to be stressed that the responsibility of effective group functioning lies on each member in terms of his initiative in various matters. It may be discussed why some people took initiative and others did not.

(b) ***Information seeking:*** Members, who ask for more and more information in the group, help in discovering new things that may help in decision-making. For example, in this exercise, questions *like* the following may be *helpful:* "Who in this group has lived in a desert? How long can a man survive without food? After how *long* of deprivation of water does dehydration set in? How far can the reflection of a mirror be seen? Why?"

(c) ***Information giving:*** The complimentary part of seeking information is giving information. Information would also *include* opinions, doubts, special knowledge One has. what one has read, etc. Generating such information by the various members may help in clarifying the issues, and narrowing (zeroing in on) the choices.

(d) ***Summarising:*** As the proceedings move on, people tend to forget what has been discussed, what have been agreed, and where the differences persist. A member who summarises the Position at such a point of time plays an important role, and facilitates the task process.

(e) ***Synthesising:*** Synthesising helps in reaching and pointing out the underlying similarities in the apparently different opinions expressed by two or more members. Consensus building is helped by the revelations of such implicit agreements and common understanding.

(f) ***Time keeping:*** When the priorities are discussed, a group may also discuss how they would like to utilise their time, and will distribute the available time. Some members may remind the group how much time has already been spent on some aspects, and how much work remains to be done. Such reminders *help* the group take timely Corrective actions.

5. Group Building Processes: While *the* task processes help in effective *completion* of the task, attention to the group *building* processes has to be paid, otherwise the group does not function as a cohesive and mutually supportive group. The following are some of the important group processes.

(a) Listening: Listening indicates the regard members have for one another Listening by one member to what the other member is saying will generate reciprocal listening and the important contributions by various members can be brought out.

(b) Expressing and responding to feelings: Even when the group is seriously discussing a task, paying attention *to* the feelings of the members is important. In effective groups members both freely express their feelings ("I feel confused," "I feel I have not been listened to") and respond to others' feelings ("can you elaborate on your feeling that you have been ignored?" "I also feel confused now"). Such expressions help in the faster accomplishment of the task.

(c) Gate keeping: When several members enthusiastically speak at the same time, confusion is created. A member may point out that he cannot hear when so many persons speak simultaneously, and may request a particular person to speak first, and then may invite the next one to say what he has to say. This is called gate keeping function, which can be taken up by any member in the group-in fact, the more the members perform this function from time to time, the better it is likely to be for the group.

(d) ***Supporting:*** The more the members support one another, the more effective the group is. Support is provided by reinforcing a member's point of view or information by another, and also includes encouraging silent members, and those *who* are shy, to contribute to the discussion.

(e) ***Process reviewing:*** The group may from time to time review what has been done and how the group has functioned. For example, a member may raise a question as to how the various members feel about the decision, or if there are still some members whose opinion has not been taken, etc.

6. Decision by Consensus: The exercise focuses attention on the process of effective-decision making, the process of development of consensus. The- trainer may like to summarise the learning from the experience in the exercise. Decision-making involves making a choice from the available or generated alternatives. When a decision is made by a face-to-face group (a task group or a committee, or a departmental team) every member is a- potential contributor to the process of decision making which involves understanding the problem or the issue, breaking down the problem or the issue into its meaningful components which indicate the real problems on which the decisions are required, formulating a general strategy in terms of the sequence of action steps, generating alternatives, providing and pooling required information, generating favourable and unfavourable points for each alternative, coming to a shared understanding, making a final choice, and getting commitment of all members to the choice made. The main advantage of a group is that it has more resources than a single individual has, and as the saying goes no one of us is as bright as all of us.

Decision by consensus creates *synergy* in the group. When members listen to one another, use the resources represented by one another and arrive at the decision to which they seem to be committed in spite of their personal differences of opinion, we may find that the decision made may be even better than taken by the most capable person in the group. The group in a way is able to produce even more than the total sum of .the resources represented in the group. This is the concept of synergy. The group can move towards synergy by taking steps to continuously mobilise the group as a team and identify and use the various available resources.

The following learning points may emerge from the exercise and discussion:

- Synergy may happen, resulting in the team answer being better than any individual answer.
- Decision making in teams is often difficult and time consuming.
- Negotiating group decisions after individuals have made decisions is difficult.
- It is tempting to compromise rather than negotiate.
- Time pressures lead to bigger compromises.
- Dominant individuals may reduce team synergy
- Effective teams recognise and value the expertise of individual members.
- Teams tend not to manage their time effectively.
- Finding the reasons for individual team member’s decisions is a better strategy than arguing over details (such as the positions of particular items).
- Effective teams foster commitment to team success.

When leading the discussion the trainer should be careful to ask questions based on observed behaviours. The group should identify their own learning points from what happened. They should not be told what should have happened or which learning points they ought to have identified. If the group are told what they should have learned there is a risk that they will reject the learning.

<u>VARIATIONS</u>

1. Observers can be used to give feedback about either group behaviour or individual behaviour.

2. A lecturette on synergy and consensus-seeking can immediately precede the group problem-solving phase to establish a mental set toward co-operation.

3. Participants can be given only one copy each of the Lost at Sea Individual Worksheet and instructed to score their own sheets.

4. Participants can be asked to complete their selection again after the group decision to see whether they have improved their personal score.

LOST AT SEA INDIVIDUAL WORKSHEET

Name

Group

Instructions: You are adrift on a private yacht in the South Pacific. As a consequence of a fire of unknown origin, much of the yacht and its contents have been destroyed. The yacht is now slowly sinking. Your location is unclear because of the destruction of critical navigational equipment and because you and the crew were distracted trying to bring the fire under control. Your best estimate is that you are approximately one thousand miles south-southwest of the nearest land.

Below is a list of fifteen items that are intact and undamaged after the fire. In addition to these articles, you have a serviceable, rubber life raft with oars large enough to carry yourself, the crew, and all the items listed below. The total contents of all survivors' pockets are a package of cigarettes, several books of matches, and five one-dollar bills.

Your task is to rank the fifteen items below in terms of their importance to your survival. Place the number 1 by the most important item, the number 2 by the second most important, and so on to number 15, the least important.

Your score	Item
	Sextant (A navigation instrument for measuring angular distances)
	Shaving mirror
	Five-gallon can of water
	Mosquito netting
	One case of army rations
	Maps of the Pacific Ocean
	Seat Cushion (flotation device approved by the Coast Guard)
	Two-gallon can of oil-gas mixture
	Small transistor radio
	Shark repellent
	Twenty square feet of opaque plastic
	One quart of 160-proof Puerto Rican rum
	Fifteen feet of nylon rope
	Two boxes of chocolate bars
	Fishing kit

LOST AT SEA GROUP WORKSHEET

Group

____

Instructions: This is an exercise in group decision-making. Your group is to employ the group consensus method in reaching its decision. This means that the prediction for each of the fifteen survival items must be agreed upon by each group member before it becomes a part of the group decision. Consensus is difficult to reach. Therefore, not every ranking will meet with everyone's complete approval. As a group, try to make each ranking one with which all group members can at least partially agree. Here are some principles to use in reaching consensus.

1. Avoid arguing for your own individual judgements. Approach the task on the basis of logic.

2. Avoid changing your mind if it is only to reach agreement and avoid conflict. Support only solutions with which you are able to agree at least somewhat.

3. Avoid "conflict-reducing" techniques such as majority vote, averaging, or trading in reaching your decision.

4. View differences of opinion as a help rather than a hindrance in decision-making.

Your score	Item
	Sextant
	Shaving mirror
	Five-gallon can of water
	Mosquito netting
	One case of army rations
	Maps of the Pacific Ocean
	Seat cushion (flotation device approved by the Coast Guard)
	Two-gallon can of oil-gas mixture
	Small transistor radio
	Shark repellent
	Twenty square feet of opaque plastic
	One quart of 160-proof Puerto Rican rum
	Fifteen feet of nylon rope
	Two boxes of chocolate bars
	Fishing kit

LOST AT SEA ANSWER AND RATIONALE SHEET

Officers of the United States Merchant Marines ranked the fifteen items and provided the "correct" solution to the task.

According to these "experts", the basic supplies needed when a person is stranded in mid ocean are articles to attract attention and articles to aid survival until rescuers arrive.

Articles for navigation are of little importance. Even if a small life raft were capable of reaching land, it would be impossible to store enough food and water to survive during that period of time. Therefore, of primary importance are the shaving mirror and the two-gallon can of oil-gas mixture. These items could be used for signalling air-sea rescue. Of secondary importance are water and food, e.g., the army rations.

A brief explanation is provided for the ranking of each item. These obviously do not represent all of the potential uses for the specified items but, rather, the primary importance of each.

1. Shaving mirror

Critical for signalling air-sea rescue.

2. Two-gallon can of oil-eras mixture

Critical for signalling - the oil-gas mixture will float on the water and could be ignited with a dollar bill and a match (obviously, outside the raft).

3 Five-gallon can of water

Necessary to replenish loss by perspiring, etc.

4. One case of army rations

Provides basic food intake.

5. Twenty square feet of opaque plastic

Used to collect rain water, provide shelter from the elements.

6. Two boxes of chocolate bars

A reserve food supply.

7. Fishing kit

Ranked lower than the chocolate bars because "a bird in the hand is worth two in the bush". There is no assurance that you will catch any fish.

8. Fifteen feet of nylon rope

May be used to lash equipment together to prevent it from falling overboard.

9. Floating seat cushion

If someone fell overboard, it could function as a life preserver.

10. Shark repellent

Obvious.

11. One quart of 160-proof Puerto Rican rum

Contains 80 percent alcohol - enough to use as a potential antiseptic for any injuries sustained; of little value otherwise; will cause dehydration if ingested-

12. Small transistor radio

Of little value since there is no transmitter (unfortunately, you are out of range of you favourite AM radio stations).

13. Maps of the Pacific Ocean

Worthless without additional navigational equipment -it does not really matter where you are but where the rescuers are.

14. Mosquito netting

There are no mosquitoes in the mid Pacific.

15. Sextant

Without tables and a chronometer, relatively useless.

The basic rationale for ranking signalling devices above life-sustaining items (food and water) is that without signalling devices there is almost no chance of being spotted and rescued. Furthermore, most rescues occur during the first thirty-six hours, and one can survive without food and water during this period.

SLIDES

Nature of Teams

Although the term "team" is frequently used for any group, especially to get individuals to work together and to motivate them, some team experts make a distinction between teams and traditional work groups.

1. The work group has a strong, clearly focused leader, the team has shared leadership roles.
2. The work group has individual accountability; the team has individual and mutual accountability.
3. The work group's purpose is the same as the organization's the team has a specific purpose.
4. The work group has individual work-products; the team has collective work products.
5. The work group runs efficient meetings; the team encourages open-ended, active problem-solving meetings.
6. The work group measures effectiveness indirectly (for example, financial performance of the overall business); the team measures performance directly by assessing collective work-products.
7. The work group discusses, decides and delegates; the team discusses, decides and does real work.

(Please note that no separate reading material for these slides are included.)

Day V (Forenoon) Conflict Management

Session-at-a-Glance

Session Plan	Session Structure	Teaching Methods	Time
Learning Objective: To impart relevant knowledge, sharpen the requisite skills and orient attitudes of participants by improving conflict management skills. **Resources required:** • Projector and computer • Flipcharts, marker pens • PowerPoint Slides • Dollar may be replaced by a rupee.	Acknowledging existence of conflict Identifying conflict response styles Identifying layers of a conflict Understanding conflict management process.	Picture Exercise Group Discussion One dollar Game/ exercise and Two dollar Game/ exercise. Discussions on above Video Lecture Hand out	10 min 40 min 30 min 20 min 20 min 25 min 5 min
			150

Instructor Guide

Picture Exercise: there are six pictures given along with this STM. Show any one these pictures to the participants and ask them to write a story/narrative of what they think the picture is all about. The facilitator may note that the pictures have been purposefully kept ambiguous and there is room for interpretation by individuals. If the group is small (up to 10-12) one picture is sufficient. If there are more trainees, they can be grouped separately and a different picture could be shown to each group.

Once the individuals in the group have written down their story, the examiner asks the individuals to read their story. Once everyone has read their story, ask the group (who have all seen the same picture) to discuss amongst themselves and come to a consensus. Usually this will spark off a debate and each will try to justify their story. After about 10 min. stop the discussion.

Ask the participants:

- Why was there no consensus? (if there were no consensus) **or** Why was there a consensus? (if a consensus was reached)
- What prevented or enabled consensus?
- Do the participants agree that in real life facts are often not well defined in terms of what we know/see/learn (as in case of the shown picture)?
- Even when same facts are available (emphasize that the same picture was seen by the group) we, as individuals, often interpret it differently because we are each separate person with our own thought process.

Let discussions flow freely and encourage the participants to realise why conflicts arise.

Play the Two dollar game: The facilitator's role are given along with game below. Initiate Discussion as mentioned in the game/ exercise.

Play the One dollar game: The facilitator's role are given along with game below. Initiate Discussion as mentioned in the game/ exercise.

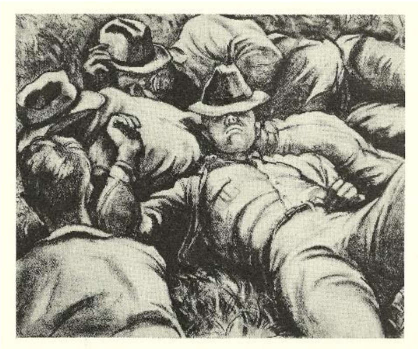
Show the Video: **William Ury: The walk from 'no' to 'yes'**

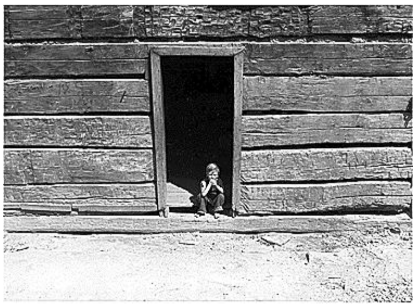
Deliver lecture with the slides based on reading material.

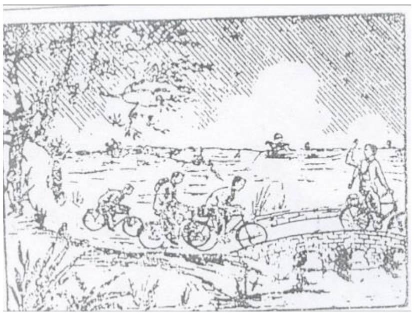
Distribute the hand out and say "we all participate in group meetings, here are some insights to individual behaviour you may find in a group meeting and how to deal with each".

PICTURE EXERCISE

(The following pictures may be used)







THE TWO DOLLAR GAME

Prof. Mary Rowe, MIT

The Two Dollar Game was developed in order to illustrate some basic tools of negotiation theory, in the simplest possible game.

Major topics include:

• The nature of **competition—"distributive" or "win-lose" bargaining**—in which the gain of one person is the loss of another. This kind of bargaining is contrasted with **collaborative** (also known as "**integrative**" or "**win-win") bargaining** in which both parties win.

In real life it can be difficult to illustrate pure win-lose bargaining, because true win-lose situations and pure win-win situations are relatively rare. (Most negotiations are actually **"mixed motive" bargaining**, including both distributive and integrative elements. Pure win-lose bargaining is rare in part because intangible elements like "relationship" enter into most negotiations. Pure win-win is rare because resources are scarce).

The Two Dollar game therefore illustrates all three strategies in negotiations. The game initially appears to be pure win-lose. But because of secret instructions, and the nature of repeat negotiations with the same person, the game will become a mixed motive game, or even integrative, in the last two rounds, if players trade money for intangible benefits.

❖ The concept of a **"bargaining range"** which can be negative, if there is no room for settlement—or positive, if there is room for settlement. It also introduces the idea of a Resistance Point or a "**Reservation Point**" (**RP**—the point at which a person will either stop bargaining, or move their RP to achieve a settlement.
The idea of the RP also introduces the idea of a fall-back position or **BATNA—the Best Alternative to a Negotiated Agreement**, since this best alternative usually defines where the RP will be. And it introduces the idea of a "target"—the amount that a person wishes to get in the process of bargaining.

❖ Major strategies that people adopt in negotiations: **Competition, Collaboration, Avoidance, Compromise, Accommodation, and Revenge**.
❖ How a player might be able to **"diagnose" his or her own natural strategies** in negotiation (strengths in strategic play and also strategic weaknesses). People who instinctively love the game (and many students do love this game) usually have strong Competitive skills. Some players easily Compromise ---in fact they will do this even if they are told not to. Those who instinctively hate the game may have high Avoidance or Accommodation scores[2]. People who "escape" the game and break the rules in order to create side deals often have Collaborative skills. And people who are vengeful on the third round begin to understand the Revenge strategy.
One can also possibly learn something about the natural strategies of the other player by observing how they play this game.

❖ An understanding of why "**splitting the difference**" is not the only way to divide what is on the table, and why it may or may not be the best way, in real life.
❖ The importance of **intangibles** (such as relationship, trust, friendly feelings) as well as **tangibles** (in this case money) as sources of value in a negotiation.
❖ The huge importance, in real life, of **repeated interactions with the same person—in building or losing a good relationship**. (We do not usually bargain just once with the same person. We often interact with the same person more than once. This means

[2] in the Thomas Kilman Questionnaire

that even a simple game of dividing two dollars, in what is supposed to be a win-lose game, is not in fact purely competitive. Because of the effect of successive interactions, positive and negative feelings become part of the intangibles that are won or lost in the interaction.)

❖ The fact that **one's strategy is not the same as one's style and demeanour**. (One can be very competitive and very charming, or collaborative and aggressive, or competitive and aggressive, etc.)

❖ **The importance of ethics in negotiations** --- how comfortable am I with making up a story, and how do I feel about a negotiations partner who lies or threatens?

HOW TO PROCEED WITH THE EXERCISE

Here is how it works. The class is divided into pairs. Every pair has a General Instruction, to divide $2 between the two players in the pair. They are instructed that the game is pure win-lose—no side deals or subterfuges are allowed.

Although the players do not know this at the beginning, they will play the game three times. The first and second time they change partners. But the third time they are suddenly told they will play again with the same partner.

Players naturally first think, “This is easy, we will just divide the two dollars in half.

But each also has a Secret Instruction. The Secret Instructions tilt each player toward competition, accommodation, or compromise. The Secret Instructions deal with intangibles (my reputation) and tangibles (the amount of money that the player must win). Some Secret Instructions also deal with style and demeanour. (In addition, some students, although breaking the rules, will come up with collaborative side deals).

Debriefing the game after the first round: In some pairs there is a negative bargaining range because the players have each been told to get more than $1. In some pairs there is a positive bargaining range because the “targets” add up to less than $2. This situation illustrates the idea of bargaining ranges, reservation points (their **BATNA**s) and targets, and the reactions of the students will also help them diagnose their natural strategies, as spelled out above.

After the second round: The second round deals with intangibles. Here the Secret Instructions deal with style, and intangible values such as one’s reputation or distrust of the other. This round also introduces the idea of **common tactics associated with common strategies**. For example one instruction requires the player to speak almost not at all—a very competitive tactic.

After the third round: The third round is a reprise of both tangible and intangible factors in negotiation. It also serves to show the **importance of a previous interaction** with the same person. In some pairs a player will deal kindly with another who dealt kindly in Round Two. In some pairs there will be an impulse towards revenge.

WHY THIS GAME

The Two Dollar Game thus efficiently introduces some major elements of negotiation theory. It is debriefed in a journal written by each player (later read and commented upon by the professor). The player is instructed to notice what can be learned about oneself, and also about others.

Players are regularly surprised to find that some people love the game (or hate it), as distinguished from their own reactions, and are regularly surprised that that are several available negotiation strategies. (Most neophytes are familiar with only one or two strategies). People are regularly surprised at the importance of a previous negotiation.

Many students are surprised at the amount of emotion engendered by an obviously simplistic game. This last is an important point because of the real-life importance of emotions in negotiation.

The game is easily debriefed a second time, later on, in terms of Sources of Power, a set of theoretical ideas introduced in the following class. For example, rewards, sanctions, force and the threat of force, relationship, **BATNA**, moral authority, and commitment power can all play a role in the Two Dollar Game. Students also regularly and instinctively “invent” legitimate authority, expertise and information power to bolster their stories.

THE ONE DOLLAR GAME
Or
The Dollar Auction Game: A Lesson in Conflict Escalation

By Douglas Noll

The game is called The Dollar Auction, and the rules are as follows.

You are the auctioneer. Propose the following:

You will auction a $1 bill to the highest bidder. The highest bidder will win $1 less the amount of the bid. If the high bid is 15 cents, you will pay out 85 cents ($1 minus the bid). The catch is that the second highest bidder must pay you his or her bid as well. So if the second bidder was 12 cents, the bidder pays you 12 cents.

People typically start this game by calling out a small amount of money because they figure they have little to lose. They think to themselves, "If I can win a buck for 10 or 15 cents, I'm pretty smart." The problem is that everyone else in the game has the same logic.

Consequently, several people start to bid. Eventually, the bids will approach $1 and two things happen. First, the number of players typically decreases until there are two bidders. Second, the motivation of the remaining two bidders changes from a desire to maximize returns to one of minimizing losses. Thus, the question transforms from "How much can I win?" to "How do I keep from losing?" Guess what? At this point, the auction often goes above $1.

Behaviours:

Why doesn't someone quit when the expected reward is less than the known expense of continuing the game? First, the players have expended time and effort in an expectation of an easy gain. They have made an "investment" that they are loathe to relinquish. Second, each party secretly hopes the other bidder will quit, leaving victory to the remaining player. Of course, both parties reason this way, and neither one quits. As the bidding exceeds $1, another transformation occurs. Now, a certain fatalistic attitude typically sets in so that each party makes certain the other will lose just as much. "I may go down in flames, but I'm taking you with me." This reaction seems to stem from a fear of looking weak or foolish for quitting and letting the other guy win. The bidders are now concerned with threats to their personal image. The auction has changed from an "investment" to "a matter of principle."

What do we Learn:

The Dollar Auction game is a great example of conflict escalation processes. Notice how the goals change as the game, which is a metaphor for conflict, progresses. Very often conflicts start with one set of goals. At an intermediate stage, the goals shift to something quite different. If the genesis of the conflict was to gain something, the first transformation will be to minimize loss. Thus, the conflict will escalate as this new goal takes hold. Since the transformation is unconscious, logic provides a rationalization rather than a reasoned before-the-fact decision. As parties become aware of the destructive nature of the escalation, a second transformation occurs. Now the conflict is centered on identity-preserving one's own face and, if possible, destroying the other's face. One can only back down now by admitting defeat. There seems to be an implicit message that the winner is stronger, better, and more capable. We react against this, again unconsciously, because succumbing to another in this way constitutes a primal threat to our ability to survive in the group.

The point I make is that conflict escalation is often caused by unconscious transformations triggered by the deepening conflict. Being aware of this propensity can help you avoid bad decisions and help you get out before the cost becomes excessive.

Once in this cycle, people have an extraordinarily difficult time breaking out. That is when mediation and peace-making can be very effective. How do you know if you or your colleagues are caught in the cycle? Listen for expressions like "I don't care about the money. It's the principle of the thing;" "We've got a lot invested in this, but it should be over in a few more months." "I don't care what it costs, XYZ is not going to win this one!" These phrases and others like them reveal how conflict goals have changed to escalation.

About the Author:

Douglas E. Noll, Esq. is a full time peacemaker and mediator specializing in difficult and intractable conflicts. In addition to being a lawyer, Mr. Noll holds a Master’s Degree in Peace-making and Conflict Studies. He has mediated and arbitrated over 1,200 cases, including a large number of construction, construction defect, and real estate matters involving tens of millions of dollars. He is a nationally recognized author, speaker, and lecturer on advanced peace making and mediation theory and practice. Mr. Noll is a Fellow of the International Academy of Mediators, a Fellow of the American College of Civil Trial Mediators, and on numerous national arbitration panels.

CONFLICT MANAGEMENT

Introduction to Conflict:

Conflict is difficult to define, because it occurs in many different settings. The essence of conflict seems to be disagreement, contradiction, or incompatibility. Thus, CONFLICT refers to any situation in which there are incompatible Goals, Cognitions, or Emotions within or between individuals or groups that lead to opposition or antagonistic interaction. The definition recognizes three basic types of conflict:

Goal conflict is situation in which desired end states or preferred outcomes appear to be incompatible.

Cognitive Conflict is a situation in which ideas or thoughts are inconsistent.

Affective Conflict is a situation in which feelings or emotions are incompatible; that is, people literally become angry with one another.

Conflict is very common in organizational settings. This is not necessarily a negative feature; the resolution of conflict often leads to constructive problem solving.

Conflict exists in many forms other than the form that can result from competition, and managers should understand the different ways of conflict resolution. Thus examines conflict from a variety of viewpoints. It first considers the positive and negative aspects of conflict. Next, it discusses the levels of conflict that can occur within organizations. Finally, it identifies some of the basic strategies for managing conflict.

Levels of Conflict

The five levels of conflict are intrapersonal (within an individual), interpersonal (between individuals), intragroup (within a group), intergroup (between groups), and intra-organizational (within organizations).

Intrapersonal Conflict

Intrapersonal Conflict, which occurs within an individual, often involves some form of goal conflict or cognitive conflict. Goal conflict exists for individuals when their behaviour will result in outcomes that are mutually exclusive or have compatible elements (both positive and negative outcomes).

- Approach-approach conflict is a situation in which a person has a choice between two or more alternatives with positive outcomes; for example, a person can choose between two jobs that appear to be equally attractive.

- Avoidance - avoidance conflict is a situation in which a person must choose between two or more alternatives, and they all have negative outcomes. For example, employees may be threatened with punishment in the form of demotion unless they do something they dislike spend much time travelling on their job, for example.

- Approach-avoidance conflict is a situation in which a person must decide whether to do something that had both positive and negative outcomes, for example, being offered a good job in a bad location.

Interpersonal Conflict

Interpersonal conflict involves two or more individuals rather than one individual. Two managers competing for the same promotion, two executives manoeuvring for a larger share of corporate capital - examples of conflict between individuals are legion and quite familiar.

Reasons

1. **Personality differences**: Some people have difficulty in getting along with each other. This is purely a psychological problem and it has nothing to do with their job requirements or formal interactions.

2. **Perceptions**: Varied backgrounds, experiences, education and training result in individuals developing different perceptions of similar realities; te result being an increase in the likelihood of interpersonal conflict.

3. **Clashes of values and interests**: Conflict that so commonly develops between engineering and manufacturing personnel shows how differences in values might underlie conflict. Members of the engineering department might place a premium on quality, sophisticated design and durability while members of the manufacturing department might value simplicity and low manufacturing costs.

4. **Power and status differences**: As pointed out by Abraham Zalenznik "Organizations are political structures". They operate by distributing authority and setting a stage for the exercise of power. Similarly status inconsistencies lead to conflict.

5. **Scarce resource**: Interpersonal conflict is almost automatic anytime there is scarcity. Conflicts over scarce resources are exceedingly common in organizations. Where the scarcity is absolute (the resource level cannot be enhanced) it is very difficult to manage interpersonal conflicts. For example if three qualified individuals ie. for superior positions in the organization and there is only one such position, interpersonal conflict may develop to an unmanageable level.

Intragroup Conflict

A group experiencing intragroup conflict, may eventually resolve it, allowing the group to reach a consensus. Or the group may not resolve the conflict, and the group discussion may end in disagreement among the members. A study of a large number of groups engaged in business and governmental decision making, tried to identify some the conditions that lead to (1) the successful resolution of conflict (consensus or (2) the failure to resolve conflict (disagreement). This study showed that conflict within groups is not a simple, single phenomenon. Instead, intragroup conflict seems to fall into two distinct categories: (1) substantive conflict and (2) affective conflict.

Substantive conflict refers to conflict based on the nature of the task or to "content" issues. It is associated with intellectual disagreements among the group members. In contrast, affective conflict derives primarily from the group's interpersonal relations. It is associated with emotional responses aroused during interpersonal clashes.

Inter-Group Conflict

An organization is a collection of individuals and groups. As the situation and requirements demand, the individuals form various groups. The success of the organization as a whole depends upon the harmonious relations among all interdependent groups, even though some intergroup conflicts in organizations is inevitable. The idea is to study intergroup behaviours within an organization so that any conflict can be recognized and dealt with by the management.

Intra-Organizational Conflict

Four types of intra-organizational conflict exist: (1) vertical conflict (2) horizontal conflict (3) line-staff conflict and (4) role conflict. Although these types of conflict can overlap, especially with role conflict, each has distinctive characteristics.

Vertical Conflict: Vertical conflict refers to any conflict between levels in an organization; superior-subordinate conflict is one example. Vertical conflicts usually arise because superiors attempt to control subordinates and subordinates.

Horizontal Conflict: Horizontal Conflict refers to conflict between employees or departments as the same hierarchical level in an organization.

Line-Staff Conflict: Most organizations have staff departments to assist the line departments.

The line-staff relationship frequently involves conflict. Staff managers and line managers typically have different personal characteristics. Staff employees tend to have a higher level of education, come from different backgrounds, and are younger than line employees. These different personal characteristics are frequently associated with different values and beliefs, and the surfacing of these different values tends to create conflict.

Role Conflict: A role is the cluster of activities that others expect individuals to perform in their position. A role frequently involves conflict.

<u>Managing Conflict</u>

Except in very few situations where the conflict can lead to competition and creativity so that in such situations the conflict can be encouraged, in all other cases where conflict is destructive in nature, it should be resolved as soon after it has developed as possible, but all efforts should be made to prevent it from developing.

- **Preventing conflict**. Some of the preventive measures that the management can take, according to Schein are:

a) *Goal structure*: Goals should be clearly defined and the role and contribution of each unit towards the organizational goal must be clearly identified. All units and the individuals in these units must be aware of the importance of their role and such importance must be fully recognized.

b) *Reward System*: The compensation system should be such that it does not create individual competition or conflict within the unit. It should be appropriate and proportionate to the group effort and reflect the degree of interdependence among units where necessary.

c) *Trust and communication*: The greater the trust among the members of unit, the more honest and open the communication among them would be. Individuals and units should be encouraged to communicate openly with each other so that they can all understand each other, understand each other's problems and help each other when necessary.

d) *Co-ordination*: Co-ordination is the next step to communication. Properly co-ordinated activity reduce conflict. Wherever there are problems in co-ordination, a special liaison office should be established to assist such co-ordination.

- **Resolving Behavioural Conflict**

Various researchers have identified five primary strategies for dealing with and reducing the impact of behavioural conflict. Even though different authors have given different terminology to describe these strategies, the basic content and approach of these strategies remain the same. These are:

1. *Ignoring the conflict*. In certain situations, it may be advisable to take a passive role and avoid it all together. From the manager's point of view, it may be especially necessary when getting involved in a situation would provoke further controversy or when conflict is so trivial in nature that it would not be worth the manager's time to get involved and try to solve it. It could also be that the conflict is so fundamental to the position of the parties involved that it may be best either to leave it to them to solve it or to let events take their own course. The parties involved in the conflict may themselves prefer to avoid conflict, especially if they are emotionally upset by the tension and frustration created by it. People may intrinsically believe that conflict is fundamentally evil and its final consequences are never good. Thus people may try to get away from conflict causing situations.

2. *Smoothing*: Smoothing simply means covering up the conflict by appealing for the need for unity rather than addressing the issue of conflict itself. An individual with internal conflict may try to "count his blessings" and forget about the conflict. If two parties have a conflict within the organization, the supervisor may try to calm things down by being understanding and supportive to both parties and appealing them for co-operation. The supervisor does not ignore or withdraw from the conflict nor does he try to address and solve the conflict but expresses hope that "everything will work out for the best of all." Since the problem is never addressed, the emotions may build up further and suddenly explode. Thus smoothing provides only a temporary solution and conflict may resurface again in the course of time. Smoothing is more sensitive approach than avoiding in that as long as the parties agree that not showing conflict has more benefits than showing conflicts, the conflict can be avoided.

3. *Compromising*: A compromise in the conflict is reached by balancing the demands of the conflicting parties and bargaining in a give and take position to reach a solution. Each party gives up something and also gains something. The technique of conflict resolution is very common in negotiations between the labour unions and management. It has become customary for the union to ask for more than what they are willing to accept and for management to offer less than what they are willing to give in the initial stages. Then through the process of negotiating and bargaining, mostly in the presence of arbitrators, they reach a solution by compromising. This type of compromise is known as integrative bargaining in which both sides win in a way.

Compromising is a useful technique, particularly when two parties have relatively equal power, thus no party can force its viewpoints on the other and the only solution is to compromise. It is also useful when there are time constraints. If the problems are complex and many faceted, and the time is limited to solve them, it might be in the interest of conflicting parties to reach a compromise.

4. *Forcing:* As Webber puts it, "the simplest conceivable resolution is the elimination of the other party – to force opponents to flee and give up the fight – or slay them." This is technique of domination where the dominator has the power and authority to enforce his own views over the opposing conflicting party. This technique is potentially effective in situations such as a president of a company firing a manager because he is considered as a trouble-maker and conflict creator. This technique always ends up in one party being a

loser and the other party being a clear winner. Many professors in colleges and universities have lost promotions and tenured re-appointments because they could not get along well with their respective chairpersons of the departments and had conflicts with them. This approach causes resentment and hostility and can backfire. Accordingly, management must look for better alternatives, if these become available.

5. *Problem solving*: This technique involves “confronting the conflict” in order to seek the best solution to the problem. This approach objectively assumes that in all organizations, no matter how well they are managed, there will be differences of opinions which must be resolved through discussions and respect for differing viewpoints. In general, this technique is very useful in resolving conflicts arising out of semantic misunderstandings. It is not so effective in resolving non-communicative types of conflicts such as those that are based on differing value systems, where it may even intensify differences and disagreements. In the long run, however, it is better to solve conflicts and take such preventive measures that would reduce the likelihood of such conflicts surfacing again.

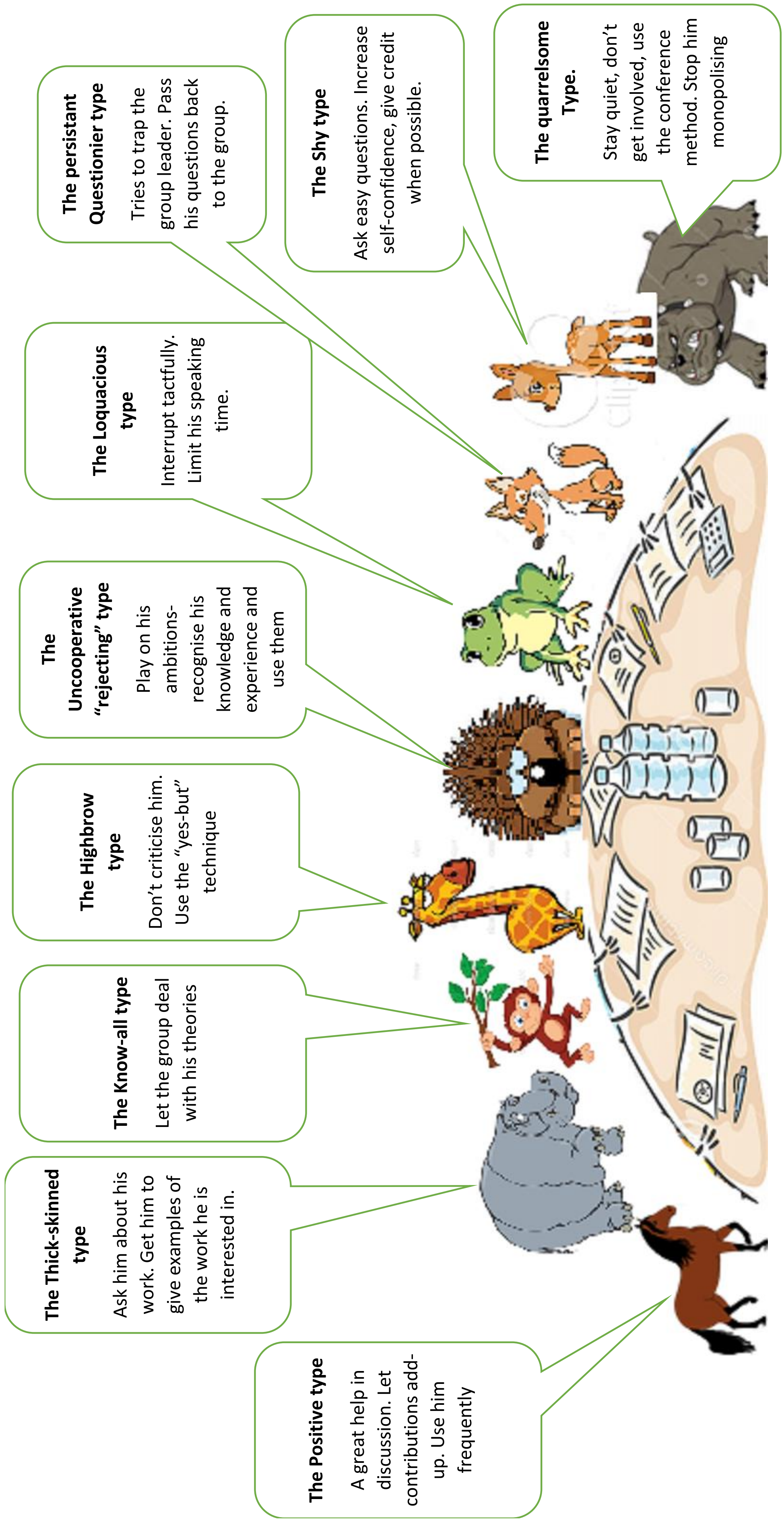
If there is a single contributory factor that helps in reducing and eliminating negative conflict, it is "trust". Our ability to trust each other has great impact on our working lives, on our family interactions and our achievement of personal and organizational goals. In order to create trust and be trustworthy, it is necessary to avoid aggressive behaviours and at the same time develop supportive behaviours where people are respected for what they are or what they believe in and are treated equally without bias or prejudice. In case, a conflict develops at any level, it should be resolved with mutual benefit in mind.

Reference

Don Hellriegel, John W.Slocum, Jr., and Richard W.Woodman, Organizational Behaviour, 5th ed., West, St.Paul, Minn, 1989.

Luthans F, Organisational Behaviour, IRWIN/McGRAW-HILL 1998.

HANDOUT



The Positive type
A great help in discussion. Let contributions add-up. Use him frequently
The Thick-skinned type
Ask him about his work. Get him to give examples of the work he is interested in.
The Know-all type
Let the group deal with his theories
The Highbrow type
Don't criticise him. Use the "yes-but" technique
The Uncooperative "rejecting" type
Play on his ambitions- recognise his knowledge and experience and use them
The Loquacious type
Interrupt tactfully. Limit his speaking time.
The persistant Questionier type
Tries to trap the group leader. Pass his questions back to the group.
The Shy type
Ask easy questions. Increase self-confidence, give credit when possible.
The quarrelsome Type.
Stay quiet, don't get involved, use the conference method. Stop him monopolising

Day V (Afternoon) Ethical Leadership and Other Emerging Issues

Session-at-a-Glance

Session Plan	Session Structure	Teaching Methods	Time
Learning Objective: To introduce participants to ethical dilemma. Ethical decision making and ethical theories. Also introduce some of the emerging issues. **Resources required:** • Projector and computer • Flipcharts, marker pens • PowerPoint Slides •	Ethical dilemmas Ethical decision making and ethical theories. Emerging issues in leadership	Case studies and discussions Lecture and exercise Video I Video II Video III Discussions	40 min. 20 min 18 min 22 min 35 min 15 min
			150 min

Instructor's Guide

The case studies as well as the discussion material are all on slides prepared for this session and given below. The facilitator could begin with any one of the case they are not mentioned in any particular order. The case study, it is hoped will generate considerable discussions where participants may subscribe to one or the opposite view. The facilitator needs to be particularly careful that he does not take any side irrespective of his values and views. In fact, if necessary, the facilitator may choose to take a side that is unable to put forth their views or a view that has not been explored by the participants. Reaching a conclusion on one side or the other as better/ more ethical approach should be avoided. The facilitator should merely mention that participants may move on to the next case. All cases need not be discussed either. The facilitator's objective is to introduce the participants to ethical dilemmas and letting the participants explore their own decision based on their own value judgement.

After the case studies, the participants could be introduced to the ethical theories. It should be explained that the views taken by the participants fall within one or the other approach to ethics. It should be emphasised that all behaviours exists and all approaches are acceptable.

Once the facilitator has discussed ethical decision making, he may complete the circle by referring back to the cases and asking the participants to apply the model to those cases.

Subsequently, the video ***Dan Ariely - Our buggy moral code*** may be shown to the participants; not necessary linking it to the earlier discussions.

Next tell the participants that you wish to introduce them to some new thinking and research on human behaviour Show the video ***Roselinde Torres - What it takes to be a great leader*** and ask them what insight they get here in terms of making choice and taking decisions.

Finally show the video ***Dan Gilbert - The surprising science of happiness*** and ask what insights we have from the video.

Prior to concluding, tell the participants that there are some additional videos that they may watch on their own time.

SLIDES

Ethics

It is not what we eat but what we digest that makes us strong;
not what we gain but what we save that makes us rich;
not what we read but what we remember that makes us learned; and
not what we profess but what we practice that gives us integrity.

Objectives

- Understanding ethical theories.
- Applying theories to Practice.

Case Studies

The following cases are adopted from UPSC papers. They indicate some situations that public servants are likely to face.

These case studies do not have any correct answer.

However, the tools we have discussed above would enable you to suggest a course of action.

Please note that your opinion of the cases are in no way a judgement on who you are as a person or upon your values. That is not the intended purpose.

Case Study

You are a no-nonsense, honest officer. You have been transferred to a remote district to head a department that is notorious for its inefficiency and callousness. You find that the main cause of the poor state of affairs is the indiscipline of a section of employees. They do not work themselves and also disrupt the working of others. You first warned the troublemakers to mend their ways or else face disciplinary action. When the warning had little effect, you issued a show cause notice to the ringleaders. As a retaliatory measure, these troublemakers instigated a woman employee amongst them to file a complaint of sexual harassment against you with the Women's Commission. The Commission promptly seeks your explanation. The matter is also publicized in the media to embarrass you further. Some of the options to handle this situation could be as follows :

(i) Give your explanation to the Commission and go soft on the disciplinary action.

(ii) Ignore the Commission and proceed firmly with the disciplinary action.

(iii) Brief your higher-ups, seek directions from them and act accordingly.

Suggest any other possible option(s). Evaluate all of them and suggest the best course of action, giving your reasons for it. (*250* words)

Case Study

Rameshwar successfully cleared the prestigious civil services examination and was excited about the opportunity that he would get through the civil services to serve the country. However, soon after joining the services, he realized that things are not as rosy as he had imagined.

He found a number of malpractices prevailing in the department assigned to him. For example, funds under various schemes and grants were being misappropriated. The official facilities were frequently being used for personal needs by the officers and staff. After some time, he noticed that the process of recruiting the staff was also not up to the mark. Prospective candidates were required to write an examination in which a lot of cheating was going on. Some candidates were provided external help in the examination. Rameshwar brought these incidents to the notice of his seniors. However, he was advised to keep his eyes, ears and mouth shut and ignore all these things which were taking place with the connivance of the higher-ups. Rameshwar felt highly disillusioned and uncomfortable. He comes to you seeking your advice.

Case Study

Suppose you are the CEO of a company that manufactures specialized electronic equipment used by a government department. You have submitted your bid for the supply of this equipment to the department. Both the quality and cost of your offer are better than those of the competitors. Yet the concerned officer is demanding a hefty bribe for approving the tender. Getting the order is important both for you and for your company. Not getting the order would mean closing a production line. It may also affect your own career. However, as a value-conscious person, you do not want to give bribe.

Case Study

A Public Information Officer has received an application under RTI Act. Having gathered the information, the PIO discovers that the information pertains to some of the decisions taken by him, which were found to be not altogether right. There were other employees also who were party to these decisions. Disclosure of the information is likely to lead to disciplinary action with possibility of punishment against him as well as some of his colleagues. Non-disclosure or part disclosure or camouflaged disclosure of information will result into lesser punishment or no punishment.

The PIO is otherwise an honest and conscientious person but this particular decision, on which the RTI application has been filed, turned out to be wrong. He comes to you for advice.

Case Study

You are working as an Executive Engineer in the construction cell of a Municipal Corporation and are presently in-charge of the construction of a flyover. There are two Junior Engineers under you who have the responsibility of day-to-day inspection of the site and are reporting to you, while you are finally reporting to the Chief Engineer who heads the cell. While the construction is heading towards completion, the Junior Engineers have been regularly reporting that all construction is taking place as per design specifications. However, in one of your surprise inspections, you have noticed some serious deviations and lacunae which, in your opinion, are likely to affect the safety of the flyover. Rectification of these lacunae at this stage would require a substantial amount of demolition and rework which will cause a tangible loss to the contractor and will also delay completion. There is a lot of public pressure on the Corporation to get this construction completed because of heavy traffic congestion in the area. When you brought this matter to the notice of the Chief Engineer, he advised you that in his opinion it is not a very serious lapse and may be ignored. He advised for further expediting the project for completion in time. However, you are convinced that this was a serious matter which might affect public safety and should not be left unaddressed.

Case Study

Sivakasi in Tamil Nadu is known for its manufacturing clusters on firecrackers and matches. The local economy of the area is largely dependent on firecrackers industry. It has led to tangible economic development and improved standard of living in the area.

So far as child labour norms for hazardous industries like firecrackers industry are concerned, International Labour Organization (ILO) has set the minimum age as 18 years. In India, however, this age is 14 years.

The units in industrial clusters of firecrackers can be classified into registered and non-registered entities. One typical unit is household-based work. Though the law is clear on the use of child labour employment norms in registered/non-registered units, it does not include household-based works. Household-based work means children working under the supervision of their parents/relatives. To evade child labour norms, several units project themselves as household-based works but employ children from outside. Needless to say that employing children saves the costs for these units leading to higher profits to the owners.

On your visit to one of the units at Sivakasi, the owner takes you around the unit which has about 10–15 children below 14 years of age. The owner tells you that in his household-based unit, the children are all his relatives. You notice that several children smirk, when the owner tells you this. On deeper enquiry, you figure out that neither the owner nor the children are able to satisfactorily establish their relationship with each other.

Case Study

You are the Executive Director of an upcoming Infotech Company which is making a name for itself in the market.

Mr. *A*, who is a star performer, is heading the marketing team. In a short period of one year, he has helped in doubling the revenues as well as creating a high brand equity for the Company so much so that you are thinking of promoting him. However, you have been receiving information from many corners about his attitude towards the female colleagues; particularly his habit of making loose comments on women. In addition, he regularly sends indecent SMS's to all the team members including his female colleagues.

One day, late in the evening, Mrs. *X*, who is one of Mr. *A*'s team members, comes to you visibly disturbed. She complains against the continued misconduct of Mr. *A*, who has been making undesirable advances towards her and has even tried to touch her inappropriately in his cabin.

She tenders her resignation and leaves your office.

Case Study

You are heading a leading technical institute of the country. The institute is planning to convene an interview panel shortly under your chairmanship for selection of the post of professors. A few days before the interview, you get a call from the Personal Secretary (PS) of a senior government functionary seeking your intervention in favour of the selection of a close relative of the functionary for this post. The PS also informs you that he is aware of the long pending and urgent proposals of your institute for grant of funds for modernization, which are awaiting the functionary's approval. He assures you that he would get these proposals cleared.

Case Study

As a senior officer in the Finance Ministry, you have access to some confidential and crucial information about policy decisions that the Government is about to announce. These decisions are likely to have far-reaching impact on the housing and construction industry. If the builders have access to this information beforehand, they can make huge profits. One of the builders has done a lot of quality work for the Government and is known to be close to your immediate superior, who asks you to disclose this information to the said builder.

Ethical Theories

Relativism and absolutism both refer to the ethical and moral belief systems in society.

Absolutism
- unchanging and immutable set of moral rights or precepts
- hold true in all situations
- common to all societies.

Relativism
- wide variety of ethical beliefs and practices
- what is 'correct' in any given situation will depend on the conditions at the time.

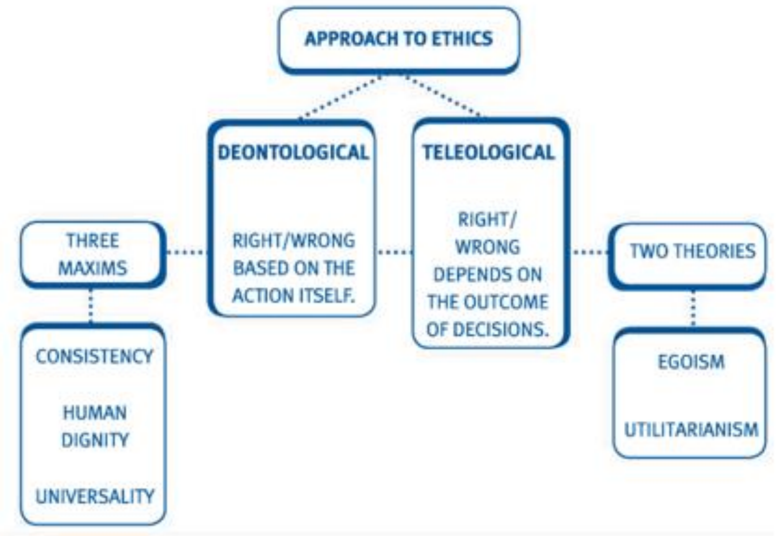
Absolutism & Relativism

Absolutism	Relativism
There is one set of moral rules that are always true.	There are many sets of moral rules. Those rules will change over time in one society and will be different in different societies.
However, this implies that 'truth' in one culture may be imposed as 'truth' in another culture. For example, western missionaries imposing western 'truth' on other cultures.	Moral 'truth' is less likely to be imposed, simply because different ethical and belief systems are accepted within the theory.
Absolutists now tend to believe that each culture has its own 'truths' and that truth should be protected in that culture.	From the relativist viewpoint, ethics and beliefs continue to change. For example, the idea of public execution is now probably abhorrent, although the idea of mass destruction using nuclear weapons may also have been abhorrent (if not incomprehensible) to 14th century Europe.
However, some basic morals will always be included within each culture, e.g. not killing children or inflicting unnecessary pain on a sentient being.	Within society today, relativism allows different beliefs, accepting that individuals are entitled to those ethics and beliefs, e.g. different stances on abortion.

Dogmatic versus Pragmatic approach

- **A dogmatic approach** takes the view that there is one truth and this truth is to be imposed in all situations.
    - The word is taken from the Greek dogma – or given truth.
    - This viewpoint corresponds to absolutism.
- **A pragmatic approach** attempts to find the best route through a specific moral situation without reference to any absolutist belief.
    - The approach is similar to relativism in attempting to find a solution based on the given belief system of the individuals involved.

Deontological and Teleological approaches to ethics



Deontological approach

This is a ***non-consequentialist theory***.

- The motivation or principle is important.
- An action can only be deemed right or wrong when the morals for taking that action are known.

There are three key maxims, or tests, for any action: an action is morally 'right' if it satisfies all three.

- **Consistency**: Act only according to that maxim by which you can, at the same time, desire that it should become a universal law.

  The action can only be right it everyone can follow the same underlying principle.

- **Human dignity**: Act so that you treat humanity, whether in your own person or in that of another, always as an end and never as a means only.
- **Universality**: Act only so that through its maxims could regard itself at the same time as universally lawgiving.

  Would an action be viewed by others as moral or suitable ?

Deontological approach

The categorical imperative has three elements or maxims:

	Maxim	Explanation
1	Act only according to that maxim by which you can, at the same time, desire that it should become a universal law.	**Principle of Consistency.** The action can only be right if everyone can follow the same underlying principle. So murder is immoral because if this action were determined moral then human life could not exist. Similarly lying is immoral because if lying were moral then there would be no concept of 'truth'.
2	Act so that you treat humanity, whether in your own person or in that of another, always as an end and never as a means only.	**Principle of Human dignity.** Everybody uses other humans in some way, e.g. to provide goods and services. This does not mean that the other human should be seen simply as a provider of those goods or services – their own needs and expectations are important and this must always be remembered.
3	Act only so that the will through its maxims could regard itself at the same time as universally lawgiving.	**The principle of Universality.** The test is whether an action is deemed to be moral or suitable when viewed by others, not by the person undertaking that action. The basic test is that if a person would be uncomfortable if their actions were reported in the press (even if no other people were harmed and all humans could accept the principle) then the action is likely to be of doubtful moral status.

Teleological approach

- This is a ***consequentialist theory***.
- Whether a decision is right or wrong depends on the consequences or outcomes of that decision.
- As long as the outcome is right, then the action itself is irrelevant.

There are two perspectives from which the outcome can be viewed:

- **Egoism**
    - Sometimes thought of as the view 'what is best for me?'. An action is morally right if the decision maker freely decides in order to pursue either their short-term desires or longer-term interests.
    - The egoist will also do what appears to be 'right' in society because it makes them feel better.
    - Egoism does not always work because actions on all members of society cannot be determined.
- **Utilitarianism**
    - Sometimes taught as the idea of 'what is best for the greatest number?'. An action is morally right if it results in the greatest amount of good for the greatest number of people affected by that action.
    - It applies to society as a whole and not the individual.
    - It is valuable in business decisions because it introduces the concept of 'utility' – or the economic value of actions.
    - It is highly subjective.

Test

Explain the teleological and deontological views of the following actions:

(a) Animal testing.

(b) Capital punishment (execution) of a serial killer.

(c) Whistleblowing.

Solution

Deontological view

a) Unlikely to be allowed because testing denies the right of animals to choose – their dignity is therefore affected (second maxim).

b) Not allowed because killing someone cannot be a universal law (first maxim).

c) Possibly allowed – although the third maxim may prevent this. If you are known as a whistle-blower you may not want this knowledge to be made public – you may not find another job.

Teleological view

a) Testing is acceptable because the pain suffered by the animal is allowable as it prevents far greater pain to many humans.

b) This is justifiable as the killing this one person may prevent that person murdering many more people.

c) Justifiable where the good to society outweighs the harm done, i.e. the harm of denying directors their freedom is outweighed by society as a whole being protected from poor products or illegal acts in a company.

Kohlberg's cognitive moral development (CMD) theory

- Kohlberg developed a cognitive moral development (CMD) theory to explain the reasoning process behind moral judgements.
- This theory is viewing ethical decisions from an individual's perspective.

There are three main levels.

- Each level is subdivided into two stages – giving six stages in total.
- Individuals tend to move from Level 1 to Level 3 as they get older.
- Movement is decided by how a decision is made, not what the decision is about.

Kohlberg's levels of human moral development

Level	Explanation	Stage
3: Post-conventional	Individual develops more autonomous decision making based on principles of right and justice.	3.2: Universal ethical principles
		3.1: Social contract and individual rights
2: Conventional	Individual does what is expected of them by others.	2.2: Social accord and system maintenance
		2.1: Interpersonal accord and conformity
1: Pre-conventional	Individual shows concern for self-interest and external rewards and punishments.	1.2: Instrumental purpose and exchange
		1.1: Obedience and punishment

Cognitive moral development theories

Kohlberg's theory relates to CMD, i.e. theories that attempt to explain cognitive processes and the decisions taken by individuals. Kohlberg's theory of CMD attempts to show the reasoning processes used by individuals, and how those processes changed as the individual matured from a child to an adult.

In other words, CMD relates to the different levels of reasoning that an individual can apply to ethical issues and problems.

Kohlberg identified three levels of moral development, with two sub-stages within each level – giving six stages in total.

- Level one: The individual is focused on self-interest, external rewards and punishment
- Level two: The individual tends to do what is expected of them by others
- Level three: The individual starts to develop autonomous decision making which is based on internal perspectives of right/wrong ethics, etc. rather than based on any external influences.

As individuals move through the stages, they are moving onto higher levels of moral reasoning – with higher levels in general terms providing more 'ethical' methods of reasoning. Most individuals operate at Level 2 reasoning – so decisions are made in accordance with what an individual perceives others to believe and in accordance with what is therefore expected of that individual by others.

Which level, and stage, of CMD do the following examples relate to ?

a) A manager includes an hour's overtime on his/her timesheet because all other managers do so.

b) A fishing company's CSR report explains how the welfare of fish is maintained in its fish farms, although there is no statutory or other obligation to provide the information or care for the fish.

c) An employee does not disclose information indicating that financial statements have omitted important liabilities in return for enhanced pension benefits from the company.

d) A director does not include some important liabilities in the financial statements because inclusion would damage the reputation of the company.

e) The company canteen only uses organic ingredients in meals provided even though employees do not know this and did not request the change.

f) Employees are given vouchers to obtain free lunches in the company canteen.

Solution

a) 2.1: Conventional – Interpersonal accord and conformity. This is what the peer group expects.

b) 3.2: Post-conventional – Universal ethical principles. The rights of animals are respected based on the company's own ethical principles.

c) 1.2: Pre-conventional – Instrumental purpose and exchange. The employee receives a 'bribe' which enhances their own interests.

d) 1.1: Pre-conventional – Obedience and punishment. The director is rewarded by keeping his/her job.

e) 3.1 Post-conventional – Social contract and individual rights. Because employees did not request the change – and it will be most expensive for the company to operate the canteen having made the decision.

f) 2.2: Conventional – Social accord and system maintenance. There is no requirement to do this – but the employer is looking after the health of the employees.

Ethical Decision Making

Ethical decision-making refers to the process of evaluating and choosing among alternatives in a manner consistent with ethical principles. In making ethical decisions, it is necessary to perceive and eliminate unethical options and select the best ethical alternative.

Making Ethical Decisions: Core Ethical Values

Trustworthiness

(Do what you say you'll do.)

A person who is trustworthy exhibits the following behaviours:

- Acts with integrity
- Is honest and does not deceive
- Keeps his/ her promises
- Is consistent
- Is loyal to those that are not present
- Is reliable
- Is credible
- Has a good reputation

Respect

(Treat others better than they treat you)

A person who is respectful exhibits the following behaviours:

- Is open and tolerant of differences
- Is considerate and courteous
- Deals peacefully with anger, disagreements, and/or insults
- Uses good manners
- Treats others the way they want to be treated

Responsibility

(Do what you are supposed to do.)

A person who is responsible exhibits the following behaviours:

- Acts with self-discipline
- Thinks before acting
- Understands that actions create certain consequences
- Is consistent
- Is accountable for actions

Making Ethical Decisions: Core Ethical Values

Fairness (Play by the rules.) A person who is fair exhibits the following behaviours:	Caring (Show you care.) A person who is caring exhibits the following behaviours:	Citizenship (Do your share.) A person who is a good citizen exhibits the following behaviours:
• Is open-minded and listens to others • Takes turns and shares • Does not lay the blame on others needlessly • Is equitable and impartial	• Expresses gratitude to others • Forgives others • Helps people in need • Is compassionate	• Cooperates • Shares information • Stays informed • Is a good neighbor • Protects the environment • Obeys the law • Exhibits civic duty • Seeks the common good for the most people

Making Ethical Decisions: Process

The process of making ethical decisions requires:

- **Commitment:** The desire to do the right thing regardless of the cost
- **Consciousness:** The awareness to act consistently and apply moral convictions to daily behaviour
- **Competency:** The ability to collect and evaluate information, develop alternatives, and foresee potential consequences and risks

Good decisions are both ***ethical*** and ***effective***:

- Ethical decisions generate and sustain trust; demonstrate respect, responsibility, fairness and caring; and are consistent with good citizenship. These behaviours provide a foundation for making better decisions by setting the ground rules for our behaviour.
- Effective decisions are effective if they accomplish what we want accomplished and if they advance our purposes. A choice that produces unintended and undesirable results is ineffective. The key to making effective decisions is to think about choices in terms of their ability to accomplish our most important goals. This means we have to understand the difference between immediate and short-term goals and longer-range goals.

Making Ethical Decisions: A 7-Step Path

Making ethical choices requires the ability to make distinctions between competing options. Here are seven steps to help you make better decisions:

1. **Stop and think:** This provides several benefits. It prevents rash decisions, prepares us for more thoughtful discernment, and can allow us to mobilize our discipline.

2. **Clarify goals:** Before you choose, clarify your short-term and long-term aims. Determine which of your many wants and "don't wants" affected by the decision are the most important. The big danger is that decisions that fulfil immediate wants and needs can prevent the achievement of our more important life goals.

3. **Determine facts:** Be sure you have adequate information to support an intelligent choice. To determine the facts, first resolve what you know, then what you need to know. Be prepared for additional information and to verify assumptions and other uncertain information. In addition:
   - Consider the reliability and credibility of the people providing the facts.
   - Consider the basis of the supposed facts. If the person giving you the information says he or she personally heard or saw something, evaluate that person in terms of honesty, accuracy, and memory.

4. **Develop options:** Once you know what you want to achieve and have made your best judgment as to the relevant facts, make a list of actions you can take to accomplish your goals. If it's an especially important decision, talk to someone you trust so you can broaden your perspective and think of new choices. If you can think of only one or two choices, you're probably not thinking hard enough.

5. **Consider consequences:** Filter your choices to determine if any of your options will violate any core ethical values, and then eliminate any unethical options. Identify who will be affected by the decision and how the decision is likely to affect them.

6. **Choose:** Make a decision. If the choice is not immediately clear, try:
   - Talking to people whose judgment you respect.
   - Think of a person of strong character that you know or know of, and ask your self what they would do in your situation.
   - If everyone found out about your decision, would you be proud and comfortable?
   - Follow the Golden Rule: treat others the way you want to be treated, and keep your promises.

7. **Monitor and modify:** Ethical decision-makers monitor the effects of their choices. If they are not producing the intended results, or are causing additional unintended and undesirable results, they re-assess the situation and make new decisions.

Making Ethical Decisions: Things to Ask Yourself

Before making a difficult decision, consider asking yourself the following questions to see if you are on ethical thin ice.

- ✓ Does your decision conflict with any of the core ethical values?
- ✓ Think of someone whose moral judgment you respect. What would that person do?
- ✓ How will your decision affect others?
- ✓ Ask yourself: Are my actions legal?
- ✓ Are there regulations, rules, or policies that restrict your choices/ actions?
- ✓ Would your decision be perceived as unethical?
- ✓ How would your decision look if it were reported on the news or in another public forum?
- ✓ What would a reasonable person do? How would they perceive your decision?
- ✓ Would you be proud of your choice if your child were to find out? Would you want them to make the same choice?
- ✓ Could you rationally and honestly defend your decision?
- ✓ Will you sleep soundly tonight?